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ABSTRACT

This document presents the research proposal and supporting documents for a study to evaluate the process of developing a comprehensive dissemination capacity in State Education Agencies (SEAs) and to assess the impact of the capacity building activities in the states, addressing two questions: Is dissemination capacity being built and, if so, how? What is the effect, if any, of the State Capacity Building Program? The study would consist of two parts--a process study to document and analyze the development of the three main components of the program and to delineate factors which seem to affect the functioning of these components, and an impact study to assess the goals of increasing the number of practitioners who have convenient access to knowledge resources, increase the exchange of information between knowledge producers and knowledge users, and improve the generalized dissemination capacity within the states. Data would be collected through interviews and questionnaires with National Institute of Education (NIE) personnel, state project directors, heads of information resource centers and linkage agents, and SEA officials, as well as through longitudinal surveys of users. Secondary data would also be utilized. Evaluation questions would be examined at the project, SEA, and state levels. Time schedules, client assessment forms, interview guides and questionnaires, and a cost analysis are appended. (CWM)

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REQUEST FOR OMB CLEARANCE

WITH SUPPORTING DOCUMENTS

for the

EVALUATION OF THE STATE CAPACITY

BUILDING PROGRAM IN DISSEMINATION

REVISED

June 23, 1978

Prepared for:

National Institute of Education

Department of Health, Education, and Welfare

Contract No. 400-76-0166

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I. JUSTIFICATION

A. Detailed Explanation of Information Requirements

The purposes of this study are to evaluate the process of developing a comprehensive dissemination capacity in State Education Agencies (SEAs) and to assess the impact of the capacity building activities in the states (RFP NIE-R-76-0016).

The capacity building activities are funded through the State Dissemination Grants Program of the National Institute of Education. This program is conducted pursuant to the Institute's general statuatory mandate to "build an effective educational research and development system" (General Education Provisions Act, as amended, 20 USC 1221e). This program is also subject to the following regulations and guidelines: (1) NIE General Provisions for Research and Development Grants (45 CFR, Chapter XIV, Subchapter A, published in the Federal Register, Volume 39, Number 213, Part II, November 4, 1974); (2) Part 1460-State Dissemination Grants Program published in the Federal Register on June 16, 1975; and, (3) Guidelines contained in Federal Management Circular 74-7.

The State Dissemination Grants Program offers support to SEAs that wish to improve their dissemination programs. NIE's focus on SEAs took form in this program particularly because of the demonstrated ability of some SEAs to develop and sustain effective, comprehensive, and generalized dissemination capacities.

Through the State Dissemination Grants Program, two types of awards are made to SEAs:

- Capacity Building Grants support SEA efforts to build a comprehensive state dissemination capacity. These awards, averaging about $100,000 each, are of one-year duration and potentially renewable for three-to-five years.

- Special Purpose Grants, averaging $25,000 each, support relatively low-cost, short-term improvement efforts related to building a comprehensive state dissemination capacity. These grants are used to support such SEA activities as initial planning, training of personnel, or the development of specific dissemination resources.

Through the State Dissemination Grants Program, in 1975, ten states were awarded Capacity Building Grants and four states received Special Purpose Grants. In 1976, fourteen Capacity Building Grants and five Special Purpose Grants were awarded. In FY1978, six additional Capacity Building Grants and five Special Purpose Grants were awarded. Pending availability of funds, NIE anticipates supporting successive groups of states until all those qualified are included. Figure 1 indicates those states who have received grants through NIE's Capacity Building Program.

NIE's focus on SEAs and capacity building is based upon earlier efforts by states and the federal government in this area. Under the Pilot State Dissemination Program, (1969-1972), three states participated in federally funded efforts to devise and field test a dissemination model appropriate for SEAs. That model included information services and management capabilities in the state agency, along with field agents who linked information resources to practitioners in selected areas. Subsequently, half-a-dozen other states participated in similar activities which were based on state-designed variations of the pilot model. While SEA capability for managing the program and providing information services was a common element, the amount and type of field services varied from state to state.

NIE conveyed its views of the components needed to build a generalized SEA dissemination capacity to states in the Program Description (Part I) of the State Dissemination Grants Program Announcement for 1975 (NIE-PA-75-1), excerpted below:

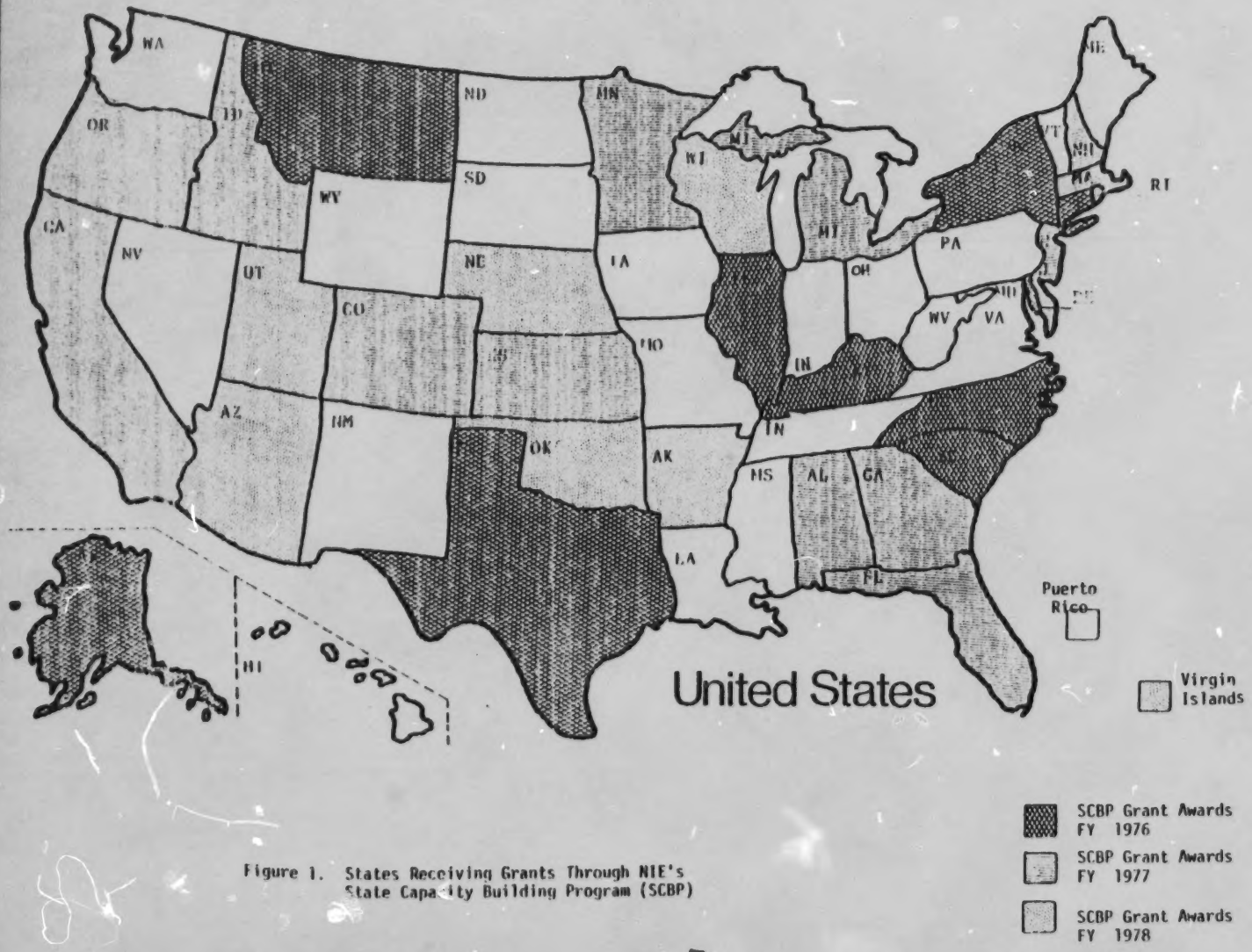

Figure 1. States Receiving Grants Through NIE's State Capacity Building Program (SCBP)

"The concept of generalized and comprehensive State dissemination capacity is perceived by NIE to involve the capacity to provide information and technical assistance in the solution of any problem identified by the dissemination agency or its clientele. Such generalized capacity requires:

(a) a comprehensive set of resources including data, documents, products, and technical expertise;

(b) means of linking the client group to the resource base;

(c) leadership and management arrangements which facilitate provision of services on any problem to all members of the client group."

The Grants Announcements also state that the Program is designed to be user-driven, that is, to respond to any information request from any client. States develop their own specific objectives from these broad goals. Time lines are mutually agreed upon by the States and NIE as part of the collaborative effort. NIE expects that the State Capacity Building Program will result in improvement of educational practice and in the development of a nationwide capacity for education dissemination. The overall benefits of the program will be increased rationality in the consideration of educational issues, problems, and discussions through improved access and increased use of information. Specifically, benefits to the SEA will include:

- an increase in the number of practitioners who have convenient access to knowledge resources;
- an increase in the exchange of information between knowledge producers and knowledge users;
- an increase in the ability of SEAs to facilitate knowledge utilization by their constituents through systematic efforts to improve generalized dissemination capacity for serving education communities within the States;
- an increase in general understanding of effective dissemination functions in SEAs. (45 CFR Part 1460.2)

This study is a comprehensive effort to determine whether or not the program is meeting the goals set forth in the federal legislation and regulations.

Under the sponsorship of the National Institute of Education, NTS is conducting a two-phased study of the State Capacity Building Grants Program. The first year design phase was completed in August of 1977; the full-scale study began in September of 1977 with efforts to finalize the framework for the evaluation and the instrumentation package. The full-scale study will extend until six months after the last group of states is funded. The NTS study is designed to examine the process of developing a comprehensive dissemination capacity in SEAs and to assess the program's impact. The Special Purpose Grants are not included in the NTS study since they are only of one year's duration and are not intended to be comprehensive in scope.

As stated in the scope of work (RFP NIE-R-76-0016), the full-scale study is comprised of a process and impact study. The purposes of the process study are "to document and analyze the development of the three main components of the program (leadership/management, resource building, and linkage mechanisms) and to delineate factors which seem to help or hinder the functioning of these components" (RFP NIE-R-76-0016, p.9). The impact study is "to deal explicitly with assessing the goals of (1) increasing the number of practitioners who have convenient access to knowledge resources, (2) increasing the exchange of information between knowledge producers and knowledge users, and (3) improving the generalized dissemination capacity within the States" (RFP NIE-R-76-0016, p.10).

In order to ascertain whether capacity is being built and maintained (and to analyze the character of that capacity), to examine what factors seem to inhibit or encourage capacity building, and to determine what impact the capacity building projects have on the states (and on the user services),

the study's activities have a longitudinal focus and necessarily include (1) interviews with National Institute of Education personnel; (2) interviews and questionnaires with state project directors; (3) validation telephone interviews with the heads of information resource centers and linkage agents; (4) structured interviews with a sample of SEA officials; and (5) longitudinal surveys of users. In order to optimize the lessons learned, the study also includes technical assistance to the states as well as periodic meetings and reports to NIE and the states.

B. Purposes For Which The Data Will Be Used

The data collected by this effort will be used by the National Institute of Education for purposes of policy and program development and planning in the area of dissemination. The results of this study will provide Congress and other federal and state decisionmakers with an evaluation of the effectiveness of the State Capacity Building Program in building state capacity in educational dissemination. States have indicated that the data will be useful for their own internal evaluations and program planning in the area of dissemination. Client assessment information will fill a void in some states and supplant present instrumentation in some other states. During the first year the study will concentrate on describing the state-of-the-art in capacity building, with subsequent years of the evaluation developing from these initial findings.

C. Availability of Similar Data

NTS has completed a review of secondary data available from individual projects, educational organizations and associations (e.g., Council of Chief State School Officers, National Dissemination Leadership Project), and other evaluations of dissemination programs (e.g., Evaluation of the Pilot State Dissemination Program, Evaluation of the National Diffusion Network). These

data have been analyzed and will be utilized where appropriate to lessen the respondent burden. However, the majority of these data available from secondary data sources do not address directly the program under evaluation. Where data which impact upon the study were available from these sources, similar items were not included in our instruments; therefore the data to be collected with the proposed instrumentation are, to the best of our knowledge, not available from any other source.

D. The Framework for the Evaluation

This study is designed to detail the process of developing a comprehensive dissemination capacity in state education agencies (SEAs) and to assess the impact of the program (RFP NIE-R-76-0016, p.1). Two overarching questions provide the anchor point for the study:

- Is dissemination capacity being built? If so, how?
- Is the State Capacity Building Program having an effect? If so, what is the nature of the effect?

The general information needs of the study are expressed in these questions. Answers to the first set of questions are needed for the process study; answers to the second set of questions are required for the impact study.

In order to conduct a thorough and comprehensive study there must be an organizing framework that builds upon the information needs, relevant theory, and knowledge of the program. The organizing framework for this study is a product of the eleven month design phase and eight additional months of design refinement activities.

Six information sources provided heuristic bases for the framework development. First, a considerable amount of descriptive information was

collected during the design phase, particularly from the first cohort of states.[1] Second, additional state visits clarified staff perceptions concerning the perceived differences and similarities among projects.[2] Third, completion of an expanded literature review characterized the state of the art in dissemination, knowledge production utilization, organizational change theory, educational change models, theories of dispersed organizations, and implementation theory.[3] Fourth, NTS has conducted three workshops during which state personnel reviewed the designs, instrumentation, and data collection plans. Fifth, experts in the areas of dissemination and implementation have been used as consultants and have contributed to the development of the organizing framework. Sixth, earlier drafts of this framework were reviewed by the National Institute of Education, and suggestions for changes were incorporated in the final framework. A separate document, The Framework for the Evaluation of the State Capacity Building Program, provides a rationale for the inclusion of each variable in the framework. The final version of The Framework has been submitted to and approved by NIE.

1
Two documents prepared during the design phase provide substantial documentation about the individual projects comprising the State Capacity Building Program. 1977 State Abstracts (Madey, D.L.; Mojkowski, C.; and Strang, E.W.) contains summaries of twenty-four capacity building projects. Included are the ten SEAs initially funded in 1975 and the fourteen additional projects funded in 1976. State Reports (Madey, D.L.; Mojkowski, C.; and Strang, E.W.) contains more extensive documentation on nine of the first states funded through NIE's Capacity Building Program.

2
Chapter 11 of State Reports (Madey, D.L.; Mojkowski, C.; and Strang, E.W.) documents perceived differences and similarities among the nine projects remaining in Cohort I.

3
Building Capacity in Dissemination: Literature Review, (Strang, E.W.; 1977) is a general summary of dissemination literature. During the refinement and expansion of the conceptual framework, a broader spectrum of literature was reviewed and incorporated into The Framework for the Evaluation.

The two broad questions presented on page 7 have guided the development of the NTS framework for the study of the State Capacity Building Program. To meet the general information needs of the study, more specific evaluation questions were required. The evaluation questions have been formulated in a collaborative effort among NIE, NTS, and the States. The final evaluation questions are presented in Exhibit A.

During the first year of the study, certain questions comprise the focus for the data collection and analysis activities; other questions are subject to further design work. Thus, substantive work is divided into two types: (1) design work and (2) data collection and analysis.

Design work includes additions and revisions in the framework with the specification of variables, construction of initial instruments, specification of respondent groups (and sampling frames as needed), and development of preliminary analysis plans. Design materials will be reviewed by the Advisory Council, the State project directors, and NIE staff.

Data collection and analysis concerns that portion of the study which is reflected by submission of this OMB Forms Clearance package including the data analysis plan, instrumentation, collection of data, analysis of data, and preparation of reports.

In most cases, data collection and analysis initiated in year one will continue in future years of this study; design work in year one will be incorporated into subsequent years of the data collection and analysis work.

The evaluation questions will be examined at three levels: (1) project, (2) SEA, and (3) State. During the first year of the study, the primary focus is the project level. In those cases where the project and the SEA are coterminus, the SEA level will also be included in the first year data collection and analysis effort. First year

design work will focus on expanding the levels of investigation so that subsequent data collection and analysis efforts can include an examination of capacity building activities at the SEA and State levels. Instrumentation included in this submission is directed towards the first year study and will result in the collection of data which can guide first year design work.

Dissemination Capacity has been conceptualized as being comprised of two major components: service capacity and user capacity. That is,

dissemination capacity = service capacity + user capacity

Service Capacity is composed of contextual, system characteristics, and output variables in each of the study domains of leadership/management, information resources, linkages and clients. User capacity is subject to further design work this year and will be initially examined by looking at potential clientele and actual clientele. Simplistically, these components and domains are represented in Figure 2 for a given project.

FIGURE 2 DISSEMINATION CAPACITY

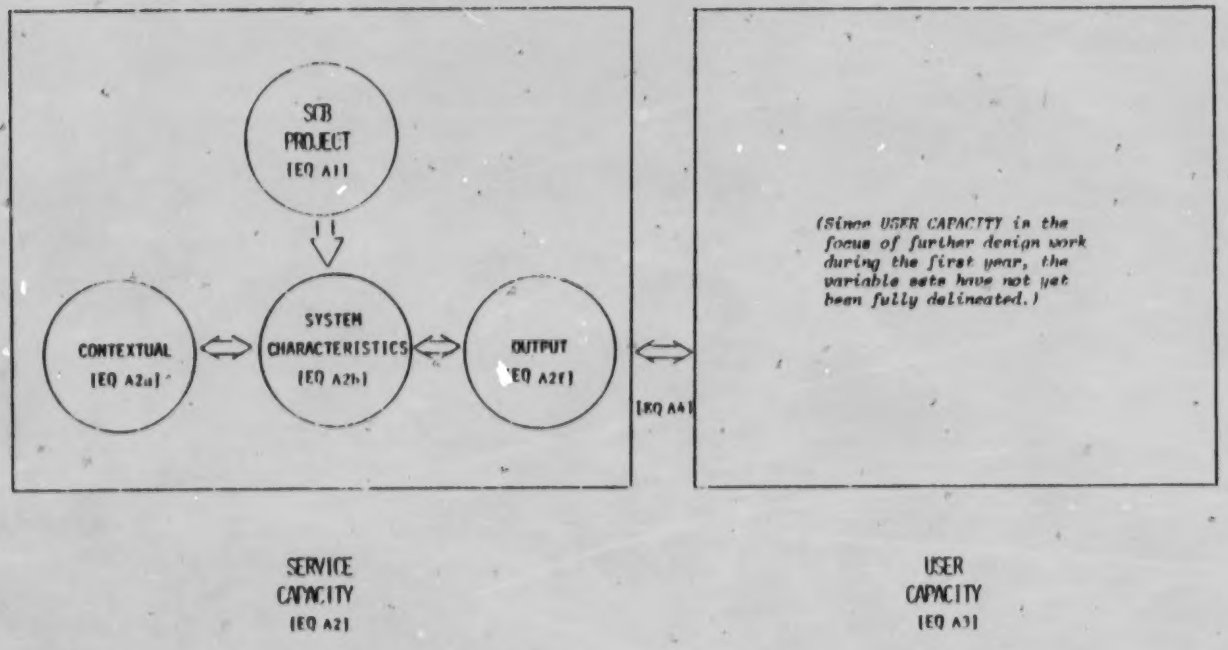

Figure 2 also denotes the focus of each of the four sets of evaluation questions which address the building of dissemination capacity. They are as follows:

(EQ A1) What knowledge can be generated regarding the origins, objectives, and plans of the capacity building projects?

(EQ A2) What knowledge can be generated concerning service capacity?

(EQ A3) What knowledge can be generated concerning user capacity?

(EQ A4) How good a match is there between service capacity and user capacity?

Given the longitudinal design of the SCBP study (which is commensurate with overall project development) data collection and analysis during year 1 will primarily focus on service capacity, and be directed toward Evaluation Questions A1 and A2. The variables of interest within the Service Capacity area are given in Table 1.

There will also be some preliminary data collection efforts of a pilot nature concerning user capacity, Evaluation Question A3, during year 1. The variables of interest this year comprise the Client Assessment Package and are given in Table 2.

In addition to examining the components of dissemination capacity, the study will also be directed towards determining the effects of the State Capacity Building Program. There are three sets of evaluation questions which address program effects. They are:

(EQ B1) What effects are the projects having?

(EQ B2) Is dissemination capacity being institutionalized so that it can continue to function without external stimulus?

(EQ B3) What effects are related to the Federal role?

Variables of interest related to the first two evaluation questions are included with the area of Service Capacity (Table 1). Table 3 presents the area of NIE Program Design and Management which contains the elements to be examined in order to answer the third evaluation question.

Exhibit A. Evaluation Questions

A. IS DISSEMINATION CAPACITY BEING BUILT? IF SO, HOW?

1. What knowledge can be generated regarding the origins, objectives and plans of the capacity building projects?

   a. What are the similarities and differences within and across States in. . .

      - Project plans?
      - Comprehensive state dissemination plans?

   b. How much progress or growth has there been in building capacity. . .

      - Relative to NIE program goals?
      - Relative to project objectives?
      - Relative to a baseline or other previous measure?
      - Relative to a comprehensive state dissemination plan, if applicable?

2. What knowledge can be generated concerning service capacity?

   a. What are the chief contextual elements within service capacity which characterize and differentiate projects? SEAs? States?

   b. What are the chief system characteristics within service capacity which characterize and differentiate projects? SEAs? States?

   c. Into what limited number of types can projects/SEAs/States be clustered on the basis of identified contextual elements within service capacity?

   d. Into what limited number of types can projects/SEAs/States be clustered on the basis of identified system characteristics within service capacity?

   e. On the basis of identified contextual clusters and identified system characteristics clusters, what meaningful models can be derived?

   f. What are the chief output variables within service capacity that characterize and differentiate projects? SEAs? States? Models?

3. What knowledge can be generated concerning user capacity?

   a. What knowledge can be generated concerning potential client capability?

      (1) Who are the potential clients? (note possible differences between total potential clientele and a more limited clientele that is targeted or designated for a specific purpose or time period.)

      (2) What are the perceptions of potential clients regarding service needs?

      (3) To what extent are potential clients aware of the service capacity of the project? SEA? States?

      (4) To what extent are potential clients knowledgeable of how to access/utilize the service capacity of the project? SEA? State?

   b. What knowledge can be generated concerning actual clientele?

      (1) Who are the actual users of the service capacity of the project? SEA? State?

      (2) What are the actual service capacity needs as expressed in requests of the project? SEA? State?

      (3) To what extent are the clients satisfied with the dissemination services provided by the project? SEA? State?

      (4) In what ways are the services utilized which are provided by the project? SEA? State?

   c. What are the quantitative and qualitative relationships of actual clientele to potential clientele.

4. How good a match is there between service capacity and user capacity?

   a. What are the relationships between service capacity and user capacity?

   b. To what extent are changes in service capacity and user capacity accommodated by changes in the other?

B. IS THE STATE CAPACITY BUILDING PROGRAM HAVING AN EFFECT? IF SO, WHAT IS THE NATURE OF THE EFFECT?

1. What effects are the projects having?

a. What impact is each project having on. . .

- SEA dissemination efforts?
- State dissemination efforts?

b. What are the similarities and differences across projects in terms of these impacts?

2. Is dissemination capacity being <u>institutionalized</u> so that it can continue to function without <u>external stimulus</u>?

3. What <u>effects</u> are related to the Federal role?

a. What is the impact of different elements of the <u>NIE program design and management</u> on capacity building and institutionalization?

b. Are there <u>changes</u> that should be made to facilitate the building and institutionalization of state capacity?

Table 1 VARIABLES IN SERVICE CAPACITY

CONTEXTUAL

	PROJECT	SEA	STATE
Leadership/Management	Dissemination experience of project staff Project director management expertise	Number of SEA professionals SEA relationship to other dissemination efforts in state Dissemination record Special funding record SCDP origin Complexity of SEA SEA decision making Formalization of SEA Flexibility of SEA Relationship of SEA to LEAs	Selection method of CSSO Selection method of State Board of Education
Information Resources		Information resources available prior to project Distribution of resources prior to project Funding of resources prior to project	
Linkages	Experience of linkers Education of linkers Content knowledge of linkers Training	Experience of linkers Education of linkers Content knowledge of linkers Type/number of ISAs Training	Experience of linkers Education of linkers Content knowledge of linkers Type/number of ISAs Training
Clients		Previous clientele	Public school professional staff Number of LEAs Number of schools Number of students
Other			Population ranking Size ranking Educational support Regional location Total expenditures for education

Table 1 (Continued) VARIABLES IN SERVICE CAPACITY

SYSTEM CHARACTERISTICS

	PROJECT	SEA	STATE
Leadership/Management	Advisory Board Developmental model Funding amount Sources of funding Distribution of funding Number of professionals Project Director role Project Director tenure Needs sensing mechanisms Client satisfaction assessment mechanisms Client utilization Formative evaluation assessment mechanisms Project planning Documentation Training Needs sensing feedback usage Client satisfaction feedback usage Client utilization feedback usage Formative evaluation feedback usage	Location of project by level within SEA Location of project by SEA division Relationship of project to SEA dissemination effort Funding amount Sources of funding Distribution of funding	Funding amount Sources of funding Distribution of funding Relationship of project to state dissemination effort
Information Resources	Information resources available Quality control mechanisms Quality control utilization Funding Staffing Service costs Development/coordination focus Automation Access Distribution/centralization Coordination of resource base Inventory of information resources	Information resources available Quality control mechanisms Quality control utilization Funding Staffing Service costs Development/coordination focus Automation Access Distribution/centralization Coordination of resource base Inventory of information resources	Information resources available Quality control mechanisms Quality control utilization Funding Staffing Service costs Development/coordination focus Automation Access Distribution/centralization Coordination of resource base Inventory of information resources

Table 1 (Continued) VARIABLES IN SERVICE CAPACITY

	PROJECT	SEA	STATE
SYSTEM CHARACTERISTICS			
Linkages	Funding of linkers Number of linkers Linker echelons Locus of control Variety of linkage mechanisms Role definition Question negotiation Training Personalization Coordination processes for linkages	Funding of linkers Number of linkers Linker echelons Locus of control Variety of linkages mechanisms Role definition Personalization Coordination processes for linkages	Funding of linkers Number of linkers Linker echelons Locus of control Variety of linkage mechanisms Role definition Personalization Coordination processes for linkages
Clients	Intended client audience Current target audience	Intended client audience Current target audience	Intended client audience Current target audience
OUTPUTS			
Leadership/Management	Visability of dissemination functions Developmental status	Visability of dissemination functions Developmental status	Visability of dissemination functions Developmental status
Information Resources	Knowledge of coordinated resource base Packaging Response characteristics Delivery mode Transformation Turn-around time	Knowledge of coordinated resource base Packaging Delivery mode Transformation Turn-around time	Knowledge of coordinated resource base Packaging Delivery mode Transformation Turn-around time
Linkages	Knowledge of coordinated linkages Focus of linker services Follow-up assistance Satisfaction of Clients Utilization by clients	Knowledge of coordinated linkages Focus of linker services	Knowledge of coordinated linkages Focus of linker services
Clients	Actual client audience		

Table 2 VARIABLES IN THE CLIENT ASSESSMENT PACKAGE

Individual Characteristics	Linker Characteristics	Process Characteristics
Position	Position	Information Range Searched
Experience	Educational Level	Type/Amount of Information Provided
Education	Experience	Intensity of Personal Assistance
Repeat User	Content Knowledge	Type of Personal Assistance
Social Integration	Role Functioning	Client Awareness
Professionalism		Client Contacts
Innovative Propensity		Client Follow-up
		Problem Sufficiency
		Problem Negotiation
		Problem Repeat
		Linker/Client Demographic Match
Organizational Characteristics	**Client Satisfaction**	Linker Content Knowledge/Request Content Area Match
Innovative Propensity	Usefulness	
Locus of Decision making	Relevancy	
Administrative support	Novelty	**Service Utilization**
Location	Completeness	
	Timeliness	
	Material Review	Subjective Usage
	Need	Levels of Use
Request Characteristics	Linker Input	
	Recommendation of service	
Problem	Reuse of Services	
Content Area	Overall Rating	
Grade Level		
Time Span		
Need Context		
Purpose		
Urgency		
Intended User		

Table 3 ELEMENTS OF NIE PROGRAM DESIGN & MANAGEMENT

FEDERAL CONTEXT	Political Context Legislative Mandates Special Interest Group Support	Administrative Support Program Priority Funding Levels Organizational Level Staff Stability Monitor Background Reporting Requirements
PROGRAM MANAGEMENT	Program Expectations Perceptions of NIE Staff Perceptions of Project Staff Intent Conveyed by Grant Announcements Funding Policies Renewal Criteria NIE's Perceptions of SEA's Constraints	Management Style Communication Pattern Imposed or Consensual Decisions
MONITOR INFLUENCE	Monitor Involvement Site Visits Work Load Monitor Knowledge of Individual Projects	Scope of Influence Project Shaping by Monitors Project Perceptions of Monitor's Role Self-perceptions of Role

II. DESCRIPTION OF SURVEY PLANS

A. Description of Potential Respondent Universe Using Forms Which Require OMB Clearance

The respondent universe for those forms requiring OMB Clearance can be divided into five parts: State Capacity Building Program Project Directors, State Education Agency Administrators, Resource Base Administrators, Linkage Agents, and Clients of the State Capacity Building Program. Each of these groups will be discussed separately in terms of their characteristics and their proposed participation in the evaluation effort. The respondent universe and sample size are summarized below in Figure 3.

State Capacity Building Program (SCBP) Project Directors

Respondents in this category will include the designated SCBP Project Director in each state. Since there are now nine Cohort I states, fourteen Cohort II states, and six Cohort III states, there will be twenty-nine Project Directors in the study. In some instances, these Project Directors may serve in their position as part-time personnel. In some of these instances these Project Directors may (and will have the option to) refer evaluation questions to the day-to-day project manager.

State Education Agency (SEA) Administrators

Respondents in this category will include a maximum of five SEA Administrators within each of the twenty-nine states. A list of SEA role functions will be provided by NTS to each SCBP Project Director. The Project Directors will then nominate SEA Administrators whose duties correspond to these role functions. Three of these administrators will represent, or be near, the level of administration represented by the SCBP Project Director or his/her designee to respond to the evaluation instrumentation. The two other SEA

Figure 3. Respondent Universe and Estimated Sample Size for the Evaluation

RESPONDENT	UNIVERSE SIZE	ESTIMATED SAMPLE SIZE
SCBP Project Directors	29	29
SEA Administrators	unknown	145[1]
Resource Base Administrators	29 - 35	29 - 35
Linkage Agents	7000 - 8000 (estimated)	70 - 90
SCBP Clients	6050 (estimated)	1730[2]

[1] See text for a discussion of the sampling plan.

[2] The Client Assessment Package and associated forms (Service Form, Process Form, Linker Form, Client Immediate Feedback Form and Client Assessment Form) will be used as a total package on a voluntary basis by participating states.

Administrators will be representatives from a higher level (or levels) of the SEA organization. Since there will be five SEA Administrators from each of the twenty-nine states, there will be 145 SEA Administrators asked to respond to a fifteen-minute, structured interview.

Resource Base Administrators

Respondents in this category will include the individual(s) designated by the SCBP Project Director as the person(s) most responsible for the Information Resource Base(s) utilized by the SCB project. In only a few instances will there be more than one person designated within each state. This designated Resource Base Administrator will be asked in most cases simply to validate the SCBP Project Director's responses to questions about the establishment and operation of the Information Resource Base. Based on the best information available to NTS, it is estimated that this group includes between 29 and 35 persons.

Linkage Agents

Respondents in this category will include a sample of those designated by the SCBP Project Director as the persons responsible for providing linkages between the SCBP and clients. In those projects where these persons are paid for by SCBP funds and/or housed centrally within the SEA, all linkers up to a maximum of four, will be asked to simply validate the SCBP Project Director's responses to questions referring to the organization and operation of the linkage system. In those instances where these persons are external to the SCBP Project and not paid by SCBP funds, a sample of these external linkers will be used for the validation. Based on best available information, it is estimated that a total of between 70 and 90 linkers will be surveyed.

Clients of the State Capacity Building Program

Respondents in this category will include a sample of clients receiving SCBP services within those states which have volunteered to participate in

this part of the evaluation. No Cohort III states will be included in the sample. Cohort I and II states were surveyed during a workshop series conducted in August, 1977 and seven states stated they did not wish to participate in this extended pilot test of the Client Assessment Instrumentation. One other state was unsure, and one state did not currently have any clients. Figures pertaining to the universe of clients and agreed-upon sample size within each state are given in Figure 4. Based on the best information available to NTS, it is estimated that a total of 1730 clients will be sampled.

B. Description of Potential Respondent Universe Using Forms Which Do Not Require OMB Clearance

There are two groups of respondents for which OMB Forms Clearance is not required: NIE Project officers and NIE Project Monitors. Each group is comprised of less than ten respondents and is also comprised of only federal employees. Since these groups are an integral part of the total study schema they have been included in this section for completeness.

National Institute of Education (NIE) Project Officers

Respondents in this category will include those persons within NIE responsible for overall management of the State Capacity Building Program and the Dissemination Resources Group in general. There are approximately five persons who meet this criterion. The NIE personnel will be interviewed regarding their perceptions of the importance and relevance of the program and the criteria which should be used to fund new or renewal projects.

National Institute of Education (NIE) Project Monitors

Respondents in this category will include those persons within NIE responsible for monitoring the SCBP project in each state. Based on best available information, there are seven persons. These Project Monitors will be interviewed regarding their efforts in the area of monitor involvement with the Capacity Building Program.

STATE	UNIVERSE OF CLIENTS[1]	SAMPLE OF CLIENTS FOR EXTENDED PILOT[2]
Alabama	150	50
Alaska	400	100
California	150	50
Colorado[3]		
Connecticut[3]		
Delaware[3]		
Florida	35	35
Georgia	85	40
Idaho	550	150
Illinois	540	180
Kansas	125	300[5]
Kentucky[3]		
Massachusetts[3]		
Michigan[4]		
Minnesota	200	100
Montana	300	100
New Hampshire[3]		
New Jersey[3]		
New York	2500	300[5]
Oregon	65	65
Rhode Island	160	
S. Carolina	180	60
Texas	600	200

FIGURE 4 CLIENT SAMPLES FOR STATES IN THE SCBP

[1]These are upper bound estimates based upon three months for the extended pilot period (April - June, 1978)

[2]The number in this column represents the number of complete data sets. Service form, process form, client immediate feedback form, and client assessment form will be collected for each client in the sample.

[3]This state declined participation in the Client Assessment portion of the evaluation for this year.

[4]There are no clients per se as of this date in Michigan.

[5]These figures were stipulated by Kansas and New York.

C. Survey Sampling Design

The following instrumentation will be utilized in year 1 of this evaluation:

Project Director Questionnaire
Project Director Interview Guide
Capacity Building Indicants
SEA Administrator's Interview Guide
NIE Project Officer Interview Guide
NIE Project Monitor Interview Guide
Client Assessment Package
- Service Form
- Process Form
- Linker Form
- Client Immediate Feedback Form
- Client Assessment Form

Project Director Questionnaire

This instrument is a 39-item questionnaire tapping Contextual Characteristics, System Characteristics and Outputs in the domains of Leadership/Management, Information Resources, Linkages and Clients. It also contains items surveying NIE Program Design. This questionnaire will be mailed to each Project Director for completion by him/her or a designee prior to the NTS site visit. During these site visits the NTS staff will follow up on any items which were omitted or on necessary points of clarification. In some instances, the Project Director or his/her designee may direct the NTS staff to another source of information for questions he/she was unable to answer.

This instrument contains 13 items covering the domain of Information Resources. The Project Director's responses to these items will be summarized in data shells which will be given or mailed to the Resource Base Administrators as identified in the previous section. These Resource Base Administrators will then be asked either in person or by telephone to validate and, where necessary, elaborate on the Project Director's responses.

This instrument also contains 11 items covering the domain of Linkage. The Project Director's responses to these items also will be summarized in data shells which will be given or mailed to the Linkers as identified in the

previous section. These linkers will then be asked either in person or by telephone to validate and elaborate on the Project Director's responses.

Project Director Interview Guide

This instrument is an open-ended interview guide with 17 interview questions. Several of these questions, especially those dealing with NIE Program Design, contain additional probes. Interviews will be conducted with each Project Director or his/her designee during the NTS site visit to each state. In some instances, the Project Director or his/her designee may direct the NTS staff to another source of information for questions he/she is unable to answer.

This instrument contains 7 questions covering the domain of Information Resources. The Project Director's responses to these items also will be summarized and added to the data shells prepared from the Project Director's Questionnaire which will be given or mailed to the Resource Base Administrators as identified previously. These Resource Base Administrators will then be asked either in person or by telephone to validate and, where necessary, elaborate on the Project Director's responses.

This instrument also contains 4 items covering the domain of Linkage. The Project Director's responses to these items also will be summarized and added to the data shells prepared from the Project Director's Questionnaire which will be given or mailed to the Linkers as identified previously. These Linkers will then be asked either in person or by telephone to validate and, where necessary, elaborate on the Project Director's responses.

Capacity Building Indicants

This instrument contains indicants suggesting movement towards capacity building in the following areas: Comprehensive Resource Base, Coordinated Resource Base, Comprehensive Linkages, Coordinated Linkages, Institutionalization, and Equal Access/Equal Opportunity. The exercise will be sent to the Project Directors along with the Project Director Questionnaire and collected during the NTS site visits.

SEA Administrator Interview Guide

This eight-item interview guide was designed to collect additional confirmatory information beyond that collected from the Project Director relative to the SEA organizational climate. These instruments will be administered to SEA Administrators as identified in the previous section.

NIE Project Officer Interview Guide
NIE Project Monitor Interview Guide

These instruments are open-ended interview guides with interview questions plus probes. Since interviews will be conducted with only NIE personnel, OMB Clearance is not necessary. However, corresponding items are being asked of the Project Directors; therefore, these instruments are included in Appendix D to illustrate the comprehensive nature of the study.

Client Assessment Package

These instruments are designed to be completed on a sample basis to detail all the parameters surrounding an individual client request for information and/or assistance. All forms will be utilized on a volunteer basis by participating states, and are designed to meet individual state project management needs as well as NTS study needs. The Client Assessment Package will either supplant or fill a void in those states which have volunteered to participate in this part of the study. Participant states have rigorously reviewed the instrumentation.

A few comments regarding flow are necessary before describing each instrument. The first form, the Service Form, is completed by the person whom the client first contacts (either a linker or in some cases a resource base staff member). The second form, the Process Form, is completed by the individual (a resource base person) who conducts the actual information search and retrieval process. The Client Immediate Feedback Form is completed by a client selected for the sample after receipt of the materials and/or

provision of personal assistance. The Client Assistance Form is completed by a subsample of these sample clients four to six weeks after receipt of the original package and assistance.

Service Form

This instrument will be completed by linkers within projects on a voluntary basis. It is designed to either supplant existing instrumentation or fill a project void. This 14-item instrument is used to collect information concerning a client request for service including dates, problem statement, purpose statement, information area, grade level, time span, client position and status and client location.

A unique code comprised of state, region, linker and service numbers will be assigned to each request. In those states utilizing the NTS Client Assessment Package the search can then be linked with client utilization and satisfaction data.

Process Form

This single-page, 4 item instrument will be completed by resource base personnel within projects on a voluntary basis. The purpose of the instrument is to capture information about the information and/or resource search process in response to a service request. Assignment of an identifying service code will allow interface with the Service Form and the client utilization and satisfaction data in those states which utilize the NTS Client Assessment Package.

Linker Form

The Linker Form is designed to gather information concerning the linker's expertise (content knowledge, educational level, and experience) and demographic information (linker's position and function). It will be completed by a sample of linkage agents and consists of 6 items.

This information will allow an examination of the match between client and linker characteristics as it relates to client satisfaction and utilization.

Client Immediate Feedback Form

This form will be completed by all those clients whose requests have been sampled. It consists of 10 brief items dealing with the information and/or assistance received (timeliness, relevancy, usefulness, completeness) and overall satisfaction (would reuse services, would recommend services). This will be in post card format.

Client Assessment Form

This is a longer form (15 items) for obtaining client information, and will be given to a subsample of those clients above. It looks at the intensity of linker/client interactions, information utilization, client follow-up, and the need for information/assistance. In addition, there are 5 optional items which measure the clients innovative propensity, professionalism, and the climate of the client's organization.

As mentioned previously, a framework was developed in order to guide the evaluation. This framework then provided the basis for development of instrumentation. A matrix detailing the instrument(s) and item(s) corresponding to each of the variables of the framework is presented in Appendix B. As indicated in Appendix B, many of the data elements in the matrix will be obtained from existing secondary sources, thus reducing the overall respondent burden.

D. Non-Response and Follow-Up

Based upon the experience of NTS in carrying out studies of this *genre*, we feel confident in forecasting these minimal response rates:

- Instruments administered face-to-face during site visits (NIE Project Officer Interview Guide, NIE Project Monitor Interview Guide, Project Director Interview Guide) . . . .95 percent fully completed
- Instruments sent by mail and followed-up face-to-face (Project Director Questionnaire, Capacity Building Indicants) . . . .95 percent fully completed
- Other instruments administered face-to-face during site visits (SEA Administrator Interview Guide) . . . .75 percent fully completed
- Instruments administered via mail with follow-up telephone validation (summary data shells from Project Director Questionnaire and Interview Guide for Resource Base Administrators and Linkers) . . . .90 percent fully completed
- Instruments in pilot test form and administered on a voluntary basis within states (Service Form, Linker Form, Process Form, Immediate Feedback Form, Client Assessment Form) . . . .60 percent fully completed

Several techniques will be utilized to insure this level of response rate. They are as follows:

- Insuring that all face-to-face interviews are scheduled and confirmed in advance of the site team's arrival.
- The use of outgoing WATS lines to remind Project Directors of these confirmed dates for site visits and encouraging them to complete the pre-mailed information prior to the site team's arrival.
- The use of incoming and outgoing WATS lines to facilitate follow-up efforts and minimize the cost of multiple calls to the same number.
- Personal contact by the Project Directors to selected SEA Administrators informing them of the purpose of the interview and encouraging their participation in the study.

- Preceding telephone follow-ups on the data shells with an introductory letter accompanying the data shells and, if necessary, setting a firm appointment with the respondent to call back for conduct of the full validation interview.

- The use of letters on project or SEA "letter head" to encourage participation in the study when all other efforts have failed.

E. Contractor and Arrangements for Confidentiality of Data

NTS Research Corporation is responsible to the National Institute of Education for all phases of this study, including:

- Framework development
- Research design
- Sampling
- Development and administration of instrumentation
- Data collection and analysis
- Report generation

NTS Research Corporation will, by virtue of its experience in conducting national surveys, meet the need for security in data collection and analysis so that no damage will be incurred by study respondents and so that no unauthorized use is made of collected information. The following data handling procedures will be employed to protect respondents:

1. Respondent's name will not appear on data collection instruments. Rather, a code will be assigned to each participating state and will be used for the following instrumentation:

Project Director Questionnaire
Project Director Interview Guide
Capacity Building Indicants

A unique code will be assigned to each SEA administrator selected for participation in the study in addition to the state code. This code will denote the administrative level of the respondent from information supplied on the cover page of the instrument regarding department or division, program name, and title and/or role. This cover page will be removed and destroyed as coding is completed for each respondent.

No client names will be requested by NTS. However, the Service Form requests this information for individual state project utilization in responding to requests. It is proposed that this form will be machine readable for all portions except the requester identification field. A unique search code will be assigned to each request to facilitate interrelating the Service Form, Process Form, Linker Form, Immediate Feedback Form and Client Assessment Form. A unique linker code will also be assigned to each linker within each state.

2. Completed instruments will not be shown to any persons on-site, with the exception of the person completing the instrument. The source(s) of the information for the data shells will not be identified to the Resource Base Administrators or Linkers. Completed sets of instruments will be sent to NTS after every site visit, rather than carried from site-to-site on multiple-visit trips.

3. All processing will be accomplished at our own facility by full-time staff members skilled in editing and coding and with established records of reliability.

4. All completed questionnaires will be destroyed or secured at the completion of the project as directed by the National Institute of Education.

Privacy Act Clearance

The conduct of this study does not constitute a system of records as defined under the Privacy Act.

Freedom of Information Act

This study complies with the Freedom of Information Act within the limits of confidentiality noted above. Data in aggregated form will be made available under the Freedom of Information Act.

III. TABULATION AND PUBLICATION PLANS

A. Plans for Publication

The findings of this study will be presented in two volumes to the National Institute of Education. Volume I of the First-Year Report will include the following:

I. Introduction (to include an overview of the study approach and the purposes of the study)

II. Project Methodology (to include evaluation questions, sampling plans, data collection methods, and analytic techniques)

III. Similarities Within and Across States (in both project plans and comprehensive state dissemination plans)

IV. Progress or Growth in Building Capacity (relative to program goals, project objectives, baseline or other previous measures, and comprehensive state dissemination plans)

V. Knowledge Generated Concerning Service Capacity Which Characterizes and Differentiates Projects

VI. Knowledge Generated Concerning Actual Clientele of User Capacity

VII. Effects of Projects (impact on SEA and state dissemination efforts, similarities and differences across projects)

VIII. Institutionalization of Dissemination Capacity

IX. Effects Related to Federal Role

X. Glossary, Bibliography, and Appendices (Instrumentation)

Volume II of the Year 1 Final Report will include abstracts of all state projects and highlight differences and similarities among the projects. An Executive Summary, which will include both an overview of the study approach and key findings, will be submitted at the completion of Year 1 of the study.

B. Summary of Tabulation Plans

Two overarching questions provide the anchor point for the study:

- Is dissemination capacity being built? If so, how?
- Is the Capacity Building Program having an effect? If so, what is the nature of the effect.

The general information needs of the study are expressed in these questions. Answers to the first set of questions are needed for the process study; answers to the second set of questions are needed for the impact study. However, there are a number of factors which limit total explication of these areas. The field of dissemination is fraught with lack of common definitions. At a recent conference in Maryland, some of the top professionals in the field were unable to construct a common definition of linkage, one of the central concepts in the field of study. In addition, the Grants Announcements specify only broad program goals with individual state projects left free to establish their own objectives. Finally, NIE has adopted a non-prescriptive, collaborative approach towards individual project development resulting in, at the very least, a number of different approaches to establishing Capacity Building.

Fortunately, the study is intended to continue over several years until after the last cohort of states completes its funding period. This allows the NTS staff to take a series of snapshots--successive approximations to the final overall study--of individual state projects in an attempt to discover the true nature of the "Program." Since baseline capacity building data is either nonuniform or nonexistent, the first step must be to describe the present representations of the Program. Therefore, the focus during this first year of the study will be on describing each project, to the fullest extent possible. Where the project and SEA dissemination efforts are coterminus, the SEA also will be examined during the first year of Phase II. In subsequent years of the study, the SEA dissemination effort (where it is not coterminus with the project) and the statewide dissemination effort will also be examined.

The framework forms the core for the study of the State Capacity Building Program. This is demonstrated by the Matrix of Instruments and Items Corresponding to Variables of the Framework, which is presented as

Appendix B. Thus, only those items of information needed to describe the State Capacity Building Program are included in the data collection instruments. This matrix was used to develop the evaluation questions for Year 1 of Phase II and, therefore, to develop the tabulation/analysis plan. The evaluation questions to be examined in this study during the first year of Phase II are in the next section. The discussion is based upon plans for the reduction and analysis of data. Appendix C presents these evaluation questions referenced by the items which will be used to collect information towards their answers.

Evaluation Questions and Data Analysis

Evaluation Question A1: "What knowledge can be generated regarding the origins, objectives, and plans of the capacity building projects?"

A carefully orchestrated document review by NTS staff utilizing standardized procedures is planned in order to minimize respondent burden. The review will focus on the following documents: (1) state grant proposals, (2) state interim (quarterly) reports, (3) comprehensive state dissemination plans, (4) five year state plans, (5) State Abstracts, and (6) any additional documents identified as pertinent by the SCB Project Directors.

Evaluation Question A1 is comprised of two sub-questions. The procedures for reviewing these documents to answer each sub-question are described for each sub-question. In a few instances, the information yield will be increased supplementing the document review with interviews of the direct grant recipients (e.g. project directors), as indicated.

EQ A1a. What are the similarities and differences within and across states in. . .

- Project plans?
- Comprehensive state dissemination plans?

The focus on Evaluation Question A1a during the first year for data collection and analysis, for all cohorts of states, will be at the project level. Data collection and analysis will also occur at the SEA level in those cases where the SEA dissemination effort and the State Capacity Building Project are coterminus. "Comprehensive state dissemination plans" refer to agency-wide operational plans for how the SEA will conduct dissemination activities. "Project plans" refer to plans for the development and operation of the capacity building project.

The specific procedures which will be used to answer this sub-question are as follows:

1. Extract objectives/elements from documents.

   Project Plans. For each capacity building project, the specific objectives will be extracted from the most recent grant proposal.

   Comprehensive State Dissemination Plans. For each state, specific elements will be extracted from the state dissemination plan, if available. The elements to be extracted are as follows:

   1) A rationale describing the mission, goals, and objectives for the dissemination program.

   2) A description of the audience/clients and their information and assistance needs.

   3) An inventory of the products, information, and assistance which are or can be made available to respond to client needs.

   4) A description of multiple linkages to be used in connecting clients to resources.

   5) A delineation of roles and responsibilities of the appropriate agents or organizational units.

   6) A description of strategies and tactics to be used in conducting dissemination (e.g., levels of dissemination described in the DAG Report)

7) A description of the monitoring/quality control/evaluation procedures.

8) A description of resources available (people and dollars) to support each objective and strategy.

9) A description of the relationships between the comprehensive state dissemination plan, the capacity building project plan, and other state plans for the conduct of dissemination activities within a specific federal program.

2. Categorize objectives/elements by program goals (i.e., information resources, linkage, leadership, clients).

Project Plans. For each project, categorize extracted objectives according to Program goals. A matrix of Program goals by proposal objectives for each state will be used to record this information.

Comprehensive State Dissemination Plans. For each state, categorize extracted elements according to Program goals. A matrix of state dissemination plan objectives for each state will be used to record this information.

For this project at least two NTS staff will categorize the objectives and elements by their program goals. Where discrepancies in categorization occur, additional staff will be consulted to determine proper placement of an objective.

3. Use developed matrices to identify similarities and differences within and across states in project plans and comprehensive state dissemination plans.

For each state, the project plan will be compared with the comprehensive state plan, if existing and available. The unavailability of comprehensive state plans will also be reported. In addition, cross-state comparisons of project plans and comprehensive state plans will be completed using the matrices developed above. These results will be reported in the first-year evaluation report.

EQ A1b. How much progress or growth has there been in building capacity . . .

- Relative to program goals?

Since NIE specified only broad program goals, each project can be evaluated only in terms of these broad goals. The emphasis will be on indicating whether project objectives address each of the NIE program goals and whether progress or growth on project objectives (relative to NIE program goals) is occurring. The answer to this question will be comprised of two parts. First, using the matrix developed for Project Plans, each project's objectives will be examined in relation to the broad NIE program goals. This will allow judgements about whether projects are working with objectives for each program goal and also about the extensiveness of objectives for each goal. Second, progress or growth on project objectives relative to program goals will be examined. The extent to which projects have progressed relative to program goals will be reported as Project Director ratings of objective fulfillment. Project Directors will be asked to rate each project objective as they appear in the matrix using a standard five-point scale. General directions for this exercise are as follows:

Using your project's objectives (as they appear in the matrix) please rate your Project's progress on each objective according to the following five-point scale:

Little or No Progress	*Some Progress*	*Moderate Progress*	*Extensive Progress*	*Totally Completed*
1	2	3	4	5

Since the project ratings will be categorized by Program goals, judgments can be made of progress towards NIE's program goals.

Utilizing information obtained during the first year of the study, NTS plans to develop a standard "Goal Achievement Checklist" which will be used to collect comparable data across all capacity building projects relative to NIE program goals. The "Goal Achievement Checklist" will be designed in

such a way as to be useful for monitoring capacity building progress in any state. The development of the checklist will be based on techniques designed and refined using a previous NTS-developed instrument, the NTS Objectives Checklist. The two-part answer to this question will be presented in the first-year evaluation report.

- Relative to <u>project</u> objectives?

Each project differed in the degree of specificity of their project objectives and five year plan. Documents from each project will be examined and achieved project objectives will be compared with those which were planned. Where necessary, follow-up questions will be asked of the project director to clarify project status relative to stated objectives. A description of the correspondence of project status to stated objectives will be included in the first-year evaluation report.

- Relative to a <u>baseline</u> or other <u>previous measure</u> within the SEA or State?

Baseline information as used here is defined as information which describes the status of dissemination capacity within each state during the first year of original State Capacity Building Grant award using measures developed by NTS. Baseline information should be available from each of the new Cohort III states and progress relative to these baselines will be evaluated in future years. Previous measures of performance on many of the variables of interest are available from the first two cohorts of states and will be used where possible. Growth relative to baseline or previous measures will be described for each project in the first-year evaluation report. Several variables concerning funding level, resource base status and clientele prior to the beginning of the Capacity Building Project within each state are included within the Service Capacity matrix of variables. These variables

will be collected and examined for Cohort I and II states during the first year of the study.

- Relative to comprehensive state dissemination plan, if applicable?

Evaluation Question A1a above analyzes intentions or plans regarding building dissemination capacity. This sub-question will look at the progress relative to these intentions, or at what elements are actualized.

The extent to which states have progressed relative to comprehensive state dissemination plans will be reported as Project Director ratings of objectives fulfillment of elements identified in the second matrix. A standard five-point scale identical to that described for EQ A1b above will be used:

Evaluation Question A2: What knowledge can be generated concerning service capacity?

There are six sub-questions for this evaluation question as shown in Exhibit A (pages 11-13). However, only three sub-questions are the focus of the first year study. For each sub-question, the variables of interest have been previously identified in the matrix of Service Capacity variables. In year 1, data collection and analysis will occur at the project level, and at the SEA level where both the SEA dissemination effort and the State Capacity Building project are coterminus.

EQ A2a: What are the chief contextual elements within service capacity within service capacity which characterize and differentiate projects?

There are 32 contextual variables in the area of Service Capacity across the domains of Leadership/Management, Information Resources, Linkages, Clients and Other. These variables will be examined within and across projects to characterize and differentiate projects.

EQ A2b. What are the chief system characteristics within service capacity which characterize and differentiate projects?

There are 46 system characteristic variables in the area of Service Capacity across the domains of Leadership/Management, Information Resources, Linkages and Clients which are the focus of study this year. These variables will be examined within and across projects to characterize and differentiate projects.

EQ A2f. What are the chief output variables within service capacity that characterize and differentiate projects?

There are 13 output variables in the area of Service Capacity across the domains of Leadership/Management, Information Resources, Linkages and Clients which are the focus of study this year. These variables will be examined within and across projects to characterize and differentiate projects.

As shown above, reporting in the first year will include not only where each individual project is with respect to service capacity but also what similarities and differences exist among projects in their service capacity. This does not mean that Project A will be compared with project B but rather that differences and similarities among projects in building their service capacity will be described. For example, certain project objectives may be fairly easy to achieve once certain preconditions are in evidence. Similarly, identical problem areas may exist in some projects. The first year descriptive information will be reported in the final evaluation report.

Evaluation Question A3. What knowledge can be generated concerning user capacity?

Although the user capacity component is the focus of extensive design work during year 1, some preliminary client data will be collected during the

first year. The data collected should be viewed as programmatically useful information obtained while more extensive design work is in progress. The Client Assessment Package, a set of instruments developed by NTS in collaboration with the states, will be used to collect programmatically useful information.

From those states who volunteer to use the package seven subdomains of variables are tapped by the Client Assessment Package: individual user characteristics, user organizational characteristics, request characteristics, linker characteristics, process characteristics, client satisfaction, and service utilization. These variables were listed previously in Table 2.

There are four sub-questions which will be analyzed during year 1 under the more general sub-question "3b. What knowledge can be generated concerning actual clientele?" They are:

(1) Who are the actual users of the service capacity of the project?

(2) What are the actual service capacity needs as expressed in requests of the project?

(3) To what extent are the clients satisfied with the dissemination services provided by the project?

(4) In what ways are the services utilized which are provided by the project?

These sub-questions will be tapped through examination of results from administration of the Client Assessment Package in volunteer states. They may change as knowledge and understanding of user capacity develops. It should be noted that these four sub-questions are answerable via the data collected in only four of the above delineated variable subdomains: individual user characteristics, request characteristics, clinet satisfaction, and service utilization, respectively. The other three subdomains of user organizational characteristics, linker characteristics and process characteristics provide programmatically useful information to individual Capacity Building projects.

Evaluation Question B1. What effects are the projects having?

There are two sub-questions for this evaluation question. They are:

EQ B1a. What impact is each project having on. . .

- SEA dissemination efforts?
- State dissemination efforts?

EQ B1b. What are the similarities and differences across projects in terms of these impacts?

In the first year, the study will examine what impact the project has had up to now on the SEA dissemination system. Both intended and unintended outcomes will be reported. This question will also be addressed in each additional year of the evaluation. Not only are individual profiles to be developed, but analysis is also to be undertaken to see if there are any commonalities in impact across the funded projects. Data sources for this question are of two types. First, the information sets collected to address Evaluation Questions A1 and A2 (previously discussed) also have implications for assessing project effects. Specifically, project stature variables, coordination of information resources, and coordination of linkage services will be among those examined with respect to this question. Many of the reports or documents to be reviewed also contain pertinent information. Second, open-ended questions on the Project Director and SEA Administrator Interview Guide addressed to key personnel within the SEA and others will provide vital perspectives for assessing project impact. In subsequent years, more closed-ended instruments are planned.

Evaluation Question B2. Is dissemination capacity being institutionalized so that it can continue to function without external stimulus?

Limited data collection and analysis will occur initially concerning

this question. During year 1, this question will be directly addressed by the variable set of "Visability of Dissemination Functions" under the domain of Leadership/Management in the Service Capacity matrix. This variable set captures movement toward increased visability of dissemination, increased commitment of relevant dissemination project staff and SEA officials, and changes in project management functions. In addition, patterns and distribution of funding levels in the various dissemination components, dissemination stature within the SEA and the state, and the utilization by the project of system intelligence should contribute information about institutionalization of the dissemination function. This limited data collection should drive or assist in concomitant design work on institutionalization. The focus on this question is not on the institutionalization of the project per se, but rather on the institutionalization of dissemination functions within the SEA.

Evaluation Question B3. What effects are related to the Federal role?

There are two sub-questions for this evaluation question:

EQ B3a. What is the impact of different elements of the NIE program design and management on capacity building and institutionalization?

EQ B3b. Are there changes that should be made to facilitate the building and institutionalization of state capacity?

There will be data collection and analysis in year 1 to address both questions, with the changes recommended viewed as tentative in nature. There have been 22 variables generated in the domains of Federal Context, Program Management and Monitor Influence to describe the NIE program design and management. Data analysis on these evaluation questions is highly qualitative and descriptive in nature during year 1. Reporting will be in narrative format with tabular summaries utilized whenever feasible. Comparisons of opinions of Project Directors will be compared and contrasted with those of NIE Project Officers and Program Monitors.

C. Future Evaluation Plans

Previous discussion has focused on the first year of a study which is specified for continuation over a period of several years. Findings from this first year will be used to focus subsequent years of the study. The evaluation questions generated for the first year concentrate on the areas of Service Capacity and NIE Program Design at the project level. Design work during the first year will focus on the area of User Capacity. The second year of evaluation will begin to assess User Capacity and extend the areas of Service Capacity and NIE Program Design to the SEA level. The third year of the study will extend the evaluation questions to the state level. Data collected during one year will be utilized to revise and refine instrumentation during subsequent years of the evaluation. In addition, data collected will be utilized in revising the framework and provide a basis for potential model building efforts. Those variables identified as non-manipulable and static across time need not be collected in future years except from new cohorts of states. Variables found to be not associated with capacity building efforts will be dropped. Additional variables identified in the emerging literature in this field will be added as appropriate.

During the second year of the study an initial effort will be directed towards clustering projects on selected domains. Should the clustering effort prove successful, projects can be sampled out of clusters and examined in more detail. As further design work is completed, projects can be clustered on additional domains. If clusters begin to emerge across domains, then models of capacity building can be identified.

IV. TIME SCHEDULE FOR DATA COLLECTION AND PUBLICATION

A. Planned Time Schedule (Phase II)

Project start date	September 1, 1977
NIE site visit and data collection	June, 1978
Beginning of full data collection	August, 1978
End of data collection	October 15, 1978
Draft of final report	January 15, 1979
Draft of design materials	January 15, 1979
Completion of final report (year 1)	February 15, 1979
Draft of design report for Year 2	February 15, 1979
Completion of design report for Year 2	March 15, 1979
Completion of State Abstracts	March 15, 1979
Completion of Executive Summary of final report	March 15, 1979
End of Year 1 project	March 31, 1979

B. Elapsed Time Between Data Collection and Issuance of Results

There will be a period of three months between the proposed completion of data collection activities and the issuance of the draft final report (allowing three months for OMB Forms Clearance). An additional month will be used to review this draft with the Project Officer and the Project Advisory Council.

V. CONSULTATIONS OUTSIDE THE AGENCY

A. Interface With Individual State Projects

During the research design and instrument development process, three workshops were held with state project staff to review proposed designs, instrumentation, data collection and analysis plans. The first set of workshops was held in February, 1977; the second series was held in July, 1977; the most recent conference was held in early December, 1977. Some state project directors provided additional reviews of instruments and designs on an individual basis.

B. Consultation With Government Officials

State project staff have informed their respective Chief State School Officers about the study and the types of data to be collected. In addition, the Committee on Evaluation Information Systems (CEIS) has been briefed about the nature and objectives of the study and the information to be collected. One CEIS member, Dr. Paul Sandifer, has served as liaison between our project and the CEIS committee.

C. Consultations With Outside Consultants

Two times during the design and instrument development process, formal meetings were held with members of the contractor's Advisory Council. In addition, the council members have critiqued the design products on an individual basis. The names and affiliations of the Advisory Council members are as follows:

Dr. Richard Brickley
Director, Research and Information Services
for Education
198 Allendale Road
King of Prussia, Pennsylvania

Dr. David L. Clark
Professor of Education
School of Education
Indiana University
Bloomington, Indiana

Dr. Paul D. Hood
Associate Laboratory Director
Far West Laboratory for Educational
Research and Development
1855 Folsom Street
San Francisco, California

Dr. Sam Sieber
Educational Consultant
100 Nazareth
Red Hook
St. Thomas, U.S. Virgin Islands

Dr. Paul Sandifer
Director, Office of Research
South Carolina State Department of Education
1429 Senate Street
Columbia, South Carolina

Other consultants provided additional input during the final design stage. Their names and affiliations are as follows:

Dr. Michael Fullan
Ontario Institute for Studies in Education
252 Bloor Street, West
Toronto, Ontario
Canada

Dr. Karen S. Louis
Abt Associates
55 Wheeler Street
Cambridge, Massachusetts

D. Informal Consultations With Representatives of Other Dissemination Studies

To prevent duplication of effort and to insure coordination with other data collection efforts, NTS has held informal consultations with representatives of other dissemination studies. Their names and affiliations are as follows:

Mr. Stanley Chow
Co-director, System Support Service, RDx
Formative Evaluation of RDx
Far West Laboratory for Educational Research
and Development
1855 Folsom Street
San Francisco, California

Dr. John Emrick
former Project Director
Evaluation of the National Diffusion Network
Stanford Research Institute
Menlo Park, California

Dr. Karen Louis
Co-director
Study of the R&D Utilization Program
Abt Associates
55 Wheeler Street
Cambridge, Massachusetts

Communication channels have been established and will continue for the duration of the evaluation.

E. Consultations With National Institute of Education Staff

At various stages throughout the design development process, consultations were held with several members of the National Institute of Education staff including the following: Dr. John Coulson, Dr. Ron Havelock, Dr. Charles Haughey, Dr. Ward Mason, Dr. Carnot Nelson, Dr. Naida Bagenstos, and Dr. Rolf Lehming. These meetings were organized by the NIE project monitors, Ms. Mary Ann Millsap (former project officer) and Dr. John Egermeier (present project officer).

VI. ESTIMATE OF RESPONDENT REPORTING BURDEN

A matrix showing the proposed instrumentation, the respondent population for each instrument and estimated instrument completion time is presented below. Note that the average respondent burden is .33 man-hours or about 20 minutes. However, the majority of the response burden will be borne by the Project Directors. NTS has developed an excellent working relationship with these Project Directors and has been encouraged greatly by their willingness to cooperate. The Project Directors have been enthusiastic about the opportunity to learn about other projects during information sharing sessions with NTS. The Project Directors are the direct grant recipients of NIE's Capacity Building Grants.

MATRIX ESTIMATING RESPONDENT REPORTING BURDEN

Instrument	Respondent Population	Universe of Respondents	Estimated Sample Size	Estimated Response Time (Person hours)	Total Response Time (Person hours)
PD Questionnaire	Project Directors	29	29	.75	21.75
PD Interview Guide	Project Directors	29	29	1.50	43.50
PD Questionnaire/ PD Interview Guide	Resource Base Administrators Linkers	29-35 7000-8000[2]	29-35 70-90	.33 .25	9.67-11.67 17.50-22.50
Capacity Building Indicants	Project Directors	29	29	.33	9.67
SEA Administrator Interview Guide	SEA Administrators	Unknown	145[3]	.25	36.25
Service Form	Linkers	7000-8000[2]	1730[4]	.08	144.17
Process Form	Resource Base Personnel	150-180[6]	1730[4]	.05	86.5
Linker Form	Linkers	7000-8000[2]	70-90	.07	4.67-6.00
Immediate Feedback Form	Clients	6050	1730[4]	.08	144.17
Client Assessment Form	Clients	6050	600[4]	.25	150.00
TOTALS	———	———	2003-2029	———	667.85-676.18
					.33
					Average Respondent Burden

[1] These respondents will be asked to validate the Project Director's responses by responding to summary information from selected items presented in data shells.

[2] Estimated.

[3] See text for a discussion of the sampling plan.

[4] Each of these instruments is part of the Client Assessment package which will be used on a voluntary basis by states. Numbers indicated are estimated number of responses, not respondents. Therefore, the actual number of respondents should be less then the indicated figures.

[5] This instrument contains an optional section which will require an additional 5 minutes if the respondent desires to complete it.

[6] Resource base personnel will be completing the process form for multiple client requests. Thus the estimated sample size reflects clients while the respondent universe reflects resource base personnel.

VII. SENSITIVE QUESTIONS

There are no sensitive questions in the instruments in this package. In addition, since no respondents' names will be reported and since no respondents will be forced to answer these questions if they do not desire to do so, no confidentiality problems are foreseen.

VIII. ESTIMATE OF COST TO FEDERAL GOVERNMENT

The approximate total cost for the first eighteen months (called year 1 of phase II) of this study, including development of the framework, development and administration of instrumentation, analysis of the data, additional design work, report generation, and preparation of the design for Year 2 is presented below:

Total Project Cost (Year 1, Phase II - 18 months)	$355,427
Framework development and instrumentation	$ 99,122 (approx.)
Administration and analysis (including pre-site visit and post analysis workshops)	$150,305 (approx.)
Report generation for Year 1	$ 40,000 (approx.)
Addition design work and preparation of design for Year 2	$ 66,000 (approx.)

APPENDIX A

Instrumentation Requiring OMB Clearance

"This report is authorized by Law 20 U.S.C. 1221e. While you are not required to respond, your cooperation is needed to make the results of this survey comprehensive, accurate and timely."

APPENDIX A. INSTRUMENTATION REQUIRING OMB CLEARANCE

Project Director Questionnaire A1

Project Director Interview Guide A2

Capacity Building Indicants A3

SEA Administrator Interview Guide A4

Client Assessment Package A5

1. Service Form
2. Process Form
3. Linker Form
4. Immediate Feedback Form
5. Client Assessment Form

"This report is authorized by Law 20 U.S.C. 1221e. While you are not required to respond, your cooperation is needed to make the results of this survey comprehensive, accurate and timely."

PROJECT DIRECTOR QUESTIONNAIRE

"This report is authorized by Law 20 U.S.C. 1221e. While you are not required to respond, your cooperation is needed to make the results of this survey comprehensive, accurate and timely."

NTS Research Corporation
2634 Chapel Hill Blvd.
Durham, NC 27707
800/334-0077

OMB No.
Site:_____

Project Director Questionnaire
State Capacity Building Program

This questionnaire was designed to elicit responses about characteristics of your State Capacity Building Project, the contextual characteristics of the State Education Agency (SEA) within which it is located, and the nature of your project's relationship with the National Institute of Education (NIE). Please complete this questionnaire prior to the date of our site visit as specified in the accompanying letter. We will discuss your responses with you during this site visit.

1. Which statement best describes your perception of the SEA's decision-making process? (check one)

- ☐ Most decisions are made by discussion and consensus by intermediate level administrators and professional staff members.
- ☐ Most decisions are made at the intermediate level of administration following consensus and recommendation by staff members below.
- ☐ Most decisions are made at intermediate levels of administration with little input from other professional staff.
- ☐ Most decisions are made at the top levels of administration following consensus and recommendation by staff members below.
- ☐ Most decisions are made at the top levels of administration with input from key personnel below.
- ☐ Most decisions are made at the top levels of administration with little input from below.
- ☐ Other (specify): _____

_____

"This report is authorized by Law 20 U.S.C. 1221e. While you are not required to respond, your cooperation is needed to make the results of this survey comprehensive, accurate and timely."

2. Which of the following statements best characterizes your SEA? (check one)

- ☐ One of the first to promote a new method or program
- ☐ Likely to promote a method or program once some proof exists that it works and will be an improvement
- ☐ Likely to promote a method or program when it's an improvement which has been successful and has been adopted by a few other SEAs
- ☐ Likely to try an improved, proven successful method or program when many others are doing likewise
- ☐ Not easily influenced to change established procedures and programs

2A. How flexible/rigid is the SEA in efforts to implement new programs or make changes in existing programs? (Circle one number)

Very Rigid	Rigid	Moderate	Flexible	Very Flexible
1	2	3	4	5

3. The SEA sometimes receives monies from the federal government which are designed to stimulate program or project initiation and development in particular areas. These monies, often referred to as "seed money," usually require varying amounts of matching state funds and terminate after an initial period of time has elapsed so that the program or project might continue without additional direct federal funding. Over the past five years, what is your best estimate of the percentage of programs or projects initiated through federal seed money which have become state supported once federal funds have terminated? _____percent

4. LEAs, Intermediate Education Agencies (IEAs) (if present) and the SEA can have different degrees of influence in initiating significant educational improvements in schools. What is your estimate of the degree of influence for each of these agencies in your state? (circle one number for each agency)

	Very Limited or Not at All	Limited	Moderate	Extensive	Very Extensive
a. LEAs	1	2	3	4	5
b. IEAs	1	2	3	4	5
c. SEA	1	2	3	4	5

5. What level of effort does the SEA spend in the following roles with respect to the LEAs? (circle one number for each item)

	Not an SEA Function or Very Limited	Limited	Moderate	Extensive	Very Extensive
a. Responding to LEA requests for services	1	2	3	4	5
b. Monitoring compliance with regulations	1	2	3	4	5
c. Recordkeeping (other than monitoring compliance)	1	2	3	4	5
d. Fostering LEA educational change	1	2	3	4	5

6. In which of the following dissemination efforts has your SEA participated in the past? In which efforts is your SEA currently participating? (check as many as apply in each column)

SEA Participation in the past		SEA Currently participating
☐	Dissemination and Analysis Group (DAG)	☐
☐	9 State Study	☐
☐	Pilot State Dissemination Project	☐
☐	State Capacity Building Special Purpose grant	☐
☐	Interstate Project on Dissemination (IPOD)	☐
☐	National Diffusion Network (NDN)	☐
☐	Research and Development Utilization (RDU) Program	☐
☐	Research and Development Exchange (RDx)	☐
☐	Special Education (including P.L. 94 - 142)	☐
☐	ESEA Title IV-B & C	☐
☐	Teacher Centers	☐
☐	Vocational Education, Parts C & D	☐
☐	Bilingual Education	☐
☐	Other (specify): _____	☐
☐	Other (specify): _____	☐
☐	Other (specify): _____	☐

7. What part did the present project director play in preparation of the original State Capacity Building Program proposal? (Check the most applicable response)

- ☐ The present Project Director played a major role (e.g., wrote a major part of the proposal).
- ☐ The present Project Director played a minor role (e.g., wrote a minor part of the proposal).
- ☐ The present Project Director did not participate in the proposal preparation.
- ☐ Other (specify): _____

8. Which of the following statements best describes the present Project Director? (check one)

- ☐ The present Project Director was the original Project Director.
- ☐ The present Project Director replaced the original Project Director and was on the original project staff.
- ☐ The Project Director replaced the original Project Director and was not on the original project staff.
- ☐ The present Project Director is at least the third Project Director and was on the original project staff.
- ☐ The present Project Director is at least the third Project Director and was not on the original project staff.

9A. To what extent have your current project objectives been altered from the objectives stated in your five year plan? (Circle one number)

Objectives Completely Altered	Most Objectives Altered	About Half of the Objectives Altered	Very Few Objectives Altered	Objectives Not Altered At All
1	2	3	4	5

9B. To what extent are those objectives which HAVE NOT been changed on schedule? (Circle one number)

None on Schedule	Very Few on Schedule	About Half on Schedule	Most on Schedule	All on Schedule
1	2	3	4	5

10. Which statement best describes your advisory group? (check one)

- ☐ There is no formal advisory group.
- ☐ There is a formal advisory group but it has not met as a group.
- ☐ There is a formal advisory group but it has not contributed to the project substantially.
- ☐ A formal advisory group meets regularly to review project status.
- ☐ A formal advisory group meets regularly to review project status and is actively engaged in the development of the project.

11. Which of the following forms of project documentation have been utilized by your State Capacity Building Program? (check as many as apply)

- ☐ Documentation of project rationale, conceptual framework, etc.
- ☐ Comprehensive project plan
- ☐ Annual report
- ☐ Weekly or monthly reports or activity summaries
- ☐ Guides to facilitate service utilization
- ☐ Brochures/flyers describing project
- ☐ Other media presentations (films, newspaper, radio, etc.)
- ☐ Other (specify): _____

12. Using the form on the following page, specify the amount of funds by source and level of effort for the areas of Leadership, Information Resources and Linkages for both the State Capacity Building Program (SCBP) and for other dissemination efforts in the State.

(Form to Answer Question 12)

STATE CAPACITY BUILDING PROJECT (SCBP) FUNDS

BY PROGRAM AREA AND SOURCE

DOLLARS

	STATE CAPACITY BUILDING PROJECT MONIES		OTHER FUNDS	
	Federal	State	Federal	State
Information Resources				
Linkage				
Leadership				

A1.6

13. What mechanisms are used to assess the needs of potential clients? (check as many as apply)

- ☐ Questionnaires/interviews of users
- ☐ Questionnaires/interviews of non-users
- ☐ Monitor service requests
- ☐ Monitor conference agendas
- ☐ Monitor trends and issues in education
- ☐ Monitor information usage of present system
- ☐ Monitor other sources of information of present users
- ☐ Monitor purposes for present usage of information
- ☐ Other (specify): _____
- ☐ Other (specify): _____
- ☐ Other (specify): _____

14. There are several ways to gather information for resource base development. The following information sources are potential sources for resource base development. To what extent do you use each of the following potential information sources? (Circle one number for each information source)

Information Source	Very Limited or Not At All	Limited	Moderate	Extensive	Very Extensive
a. Needs-sensing activities with clients	1	2	3	4	5
b. Linkage agent priorities	1	2	3	4	5
c. SEA management priorities	1	2	3	4	5
d. Resources of similar projects	1	2	3	4	5
e. National trends	1	2	3	4	5
f. Other (specify): _____	1	2	3	4	5

15. To what extent is project resource base effort spent on each of the following activities? (Circle one number for each activity)

Activity	Very Limited or Not at all	Limited	Moderate	Extensive	Very Extensive
a. Developing new resources	1	2	3	4	5
b. Coordinating existing resources	1	2	3	4	5
c. Maintaining and updating existing resources	1	2	3	4	5
d. Other (specify): _____	1	2	3	4	5

_____

16. To what degree are each of the following sources of funds used to support the resource base? (Circle one number for each source of funds)

	None or Very Limited	Limited	Moderate	Extensive	Very Extensive
SCBP Grant	1	2	3	4	5
State Funds	1	2	3	4	5
RDU	1	2	3	4	5
RDx	1	2	3	4	5
ESEA Title IV-B&C	1	2	3	4	5
Special Education (including P.L. 94-142)	1	2	3	4	5
Bilingual Education	1	2	3	4	5
Vocational Education, Parts C & D	1	2	3	4	5
Service charge	1	2	3	4	5
Intermediate Unit monies	1	2	3	4	5
Local education monies	1	2	3	4	5
Other (specify): _____	1	2	3	4	5
Other (specify): _____	1	2	3	4	5

17. To what extent are most service requests handled utilizing the following search methods? (Circle one number for each search method)

Search method	Very Limited or Not at All	Limited	Moderate	Extensive	Very Extensive
a. Manual search	1	2	3	4	5
b. Computerized search	1	2	3	4	5
c. Other (specify): _____	1	2	3	4	5

_____

18. For these services requests, to what extent do you.... (Circle one number for each item)

	Very Limited or Not at All	Limited	Moderate	Extensive	Very Extensive
a. Provide services directly to clients?	1	2	3	4	5
b. Broker by referring clients to services which will be paid by the State Capacity Building Project?	1	2	3	4	5
c. Refer clients to services which will not be paid for by the State Capacity Building Project?	1	2	3	4	5

19. How are information packages organized prior to delivery to clients? (check one)

- ☐ Transmission of a collection of documents and/or references as obtained by the search
- ☐ Selection and editing from among those documents and/or references obtained by the search
- ☐ Written summarization of the documents and/or references obtained by the search
- ☐ Critique of the documents and/or references obtained by the search
- ☐ Application of the information to the client's problem
- ☐ Other (specify): _____

20. When information packages are prepared for clients, to what extent is each usually provided? (Circle one number for each item)

		Very Limited or Not At All	Limited	Moderate	Extensive	Very Extensive
a.	References/citations	1	2	3	4	5
b.	Abstracts	1	2	3	4	5
c.	Bibliographies	1	2	3	4	5
d.	Documents (including journal articles)	1	2	3	4	5
e.	Audiovisual materials	1	2	3	4	5
f.	Microfiche	1	2	3	4	5
g.	Other (specify): _____	1	2	3	4	5

_____

21. To what extent are each of the following procedures utilized by your project to assure control of quality? (Circle one number for each procedure)

		Very Limited or Not At All	Limited	Moderate	Extensive	Very Extensive
a.	Spot checks of information packages/services	1	2	3	4	5
b.	Regular review of information packages/services	1	2	3	4	5
c.	Client assessment of information packages/services	1	2	3	4	5
d.	Linker feedback of information packages/services	1	2	3	4	5
e.	Other (specify) _____	1	2	3	4	5

_____

22. To what extent are the quality control procedures utilized by your project as indicated in the previous question utilized for each of the following purposes? (Circle one number for each purpose)

		Very Limited or Not At All	Limited	Moderate	Extensive	Very Extensive
a.	Immediate feedback to modify current procedures	1	2	3	4	5
b.	Feedback to direct long range planning and future project modifications.	1	2	3	4	5
c.	Other (specity) _____	1	2	3	4	5

_____

23. To what extent are each of the following sources of funds used to support the linkage system? (Circle one number for each funding source)

	None or Very Limited	Limited	Moderate	Extensive	Very Extensive
SCBP grant	1	2	3	4	5
State funds	1	2	3	4	5
NDN	1	2	3	4	5
RDU	1	2	3	4	5
RDx	1	2	3	4	5
ESEA Title IV-B&C Special Education (including P.L. 94-142)	1	2	3	4	5
Vocational Education, Parts C & D	1	2	3	4	5
Intermediate Unit	1	2	3	4	5
Service Charge	1	2	3	4	5
Local monies	1	2	3	4	5
Other (specify): _____	1	2	3	4	5
Other (specify): _____	1	2	3	4	5

24. Using the scale below, rate the number of linkers utilized by this project who have had previous dissemination experience. (Circle one number)

None of the linkers	A few linkers	Many linkers	Most linkers	All linkers
1	2	3	4	5

25. In general how would you rate your linkage agents on the following skills? (circle one number for each skill)

	Low	Med. Low	Moderate	Med. High	High
a. Ability to develop satisfactory relations with clients	1	2	3	4	5
b. Ability to understand and analyze a wide variety of organizational and pedagogical problems at a relatively non-technical level	1	2	3	4	5
c. Ability to synthesize and communicate research-based ideas to persons not familiar with the use of research abstracts and articles	1	2	3	4	5
d. Ability to aid school personnel in planning and implementing new programs within their specific context	1	2	3	4	5

26. Out of the total group of linkers, how many of each of the following types are utilized by and/or serving the State Capacity Building Program? (Circle one number for each type)

	None	A Few	Some	Many	Almost All
a. Former teachers with only on-the-job training	1	2	3	4	5
b. Former administrators with only on-the-job training	1	2	3	4	5
c. Former media specialists (e.g., librarians) with limited linkage training	1	2	3	4	5
d. Other personnel with only on-the-job training	1	2	3	4	5
e. Former teachers with linkage training (e.g. preservice and/or inservice)	1	2	3	4	5
f. Former administrators with linkage training (e.g. preservice and/or inservice)	1	2	3	4	5
g. Former media specialists with extensive linkage training	1	2	3	4	5
h. Other personnel with linkage training (e.g. preservice and/or inservice)	1	2	3	4	5
i. Specially trained linkage specialist	1	2	3	4	5
j. Other (specify): _____	1	2	3	4	5

27. Which of the following statements best describes your project's orientation towards the provision of linkage services? (check one)

- ☐ Almost all linkage functions are performed in the office away from clients through mediated exchanges such as mail, telephone, etc.
- ☐ Some interpersonal contact is required of linkers but they act primarily as funnels for information and services through mediated exchanges such as mail, telephone, etc.
- ☐ About half of the linker functions are performed in person and half through mediated exchanges such as mail, telephone, etc.
- ☐ Most linkage functions involve personal contact with clients.
- ☐ Almost all linkage functions involve personalized services by linkers.

28. Out of the total group of linkers, how would you characterize how linkers are utilized by and/or serving the State Capacity Building Project? (Circle one number for each type)

Almost all linkers are internal to their client organization (e.g., linker who is a media specialist within the school served)	Most linkers are internal to their client organization	About half of the linkers are internal and half are external	Most linkers are external to their client organization	Almost all linkers are external to their client organizations (e.g., a linker who is housed in a SEA or intermediate unit who serves teachers in LEAs)
1	2	3	4	5

29. To what extent does the typical linker in your project spend time performing the following activities? (Circle one number for each activity)

Activity	Very Limited or Not At All	Limited	Moderate	Extensive	Very Extensive
a. Spread of information downward to clients.	1	2	3	4	5
b. Exchange of information between clients and the projects .	1	2	3	4	5
c. Encouragement and/or training to provide decision making skills which enable a choice of information and activity from alternatives.	1	2	3	4	5
d. Assisting clients in implementing new methods.	1	2	3	4	5

30. Which of the following functions do linkers utilized by and/or serving your State Capacity Building Project perform with their clients. (check all which apply)

- ☐ Collecting and organizing information (e.g., securing and arranging information for client problems)
- ☐ Analyzing information (e.g., determining relevancy of information to client problems)
- ☐ Analyzing problems (e.g., translating client problems into informational and resource needs)
- ☐ Monitoring ideas (e.g., keeping abreast of recent educational practices and innovations)
- ☐ Managing conflict (e.g., helping others resolve discord)
- ☐ Intervening (e.g., proactively seeking client needs)
- ☐ Communicating (e.g., maintaining open personal communication with clients)
- ☐ Dissemination (e.g., a two-way process for sharing information with clients)
- ☐ Planning (e.g., preparing for future needs and services)
- ☐ Marketing (e.g., promoting awareness of available services)
- ☐ Implementing (e.g., assisting clients to install a new procedure)
- ☐ Producing (e.g., developing materials or procedures for client utilization)
- ☐ Influencing (e.g., promoting concepts and ideas for client utilization)
- ☐ Evaluating (e.g., assessing processes and impact of materials and services to clients)

31. When the results of information searches are delivered to clients, to what extent are the following response modes used? (Circle one number for each response mode)

Response Modes	Very Limited or Not At All	Limited	Moderate	Extensive	Very Extensive
a. Personal delivery	1	2	3	4	5
b. Mailed response	1	2	3	4	5
c. Telephone response	1	2	3	4	5
d. Other (specify):____	1	2	3	4	5

_____

32. When providing services to clients, to what extent are the following types of services provided? (Circle one number for each service type)

Service Type	Very Limited or Not At All	Limited	Moderate	Extensive	Very Extensive
a. Bringing new educational practices, especially those resulting from systematic research and development, to the attention of educators	1	2	3	4	5
b. Providing educators with technical assistance in the evaluation, trial, adoption, and maintenance of new practices	1	2	3	4	5
c. Providing educators with new competencies (as required by new practices) through some form of continuing education	1	2	3	4	5
d. Providing a feedback loop from educators to researchers, developers, and policymakers	1	2	3	4	5
e. Other (specify): _____	1	2	3	4	5

33. To what extent are each of the following methods used by clients to access the project and/or resource base? (Circle one number for each method)

Method	Very Limited or Not At All	Limited Use	Moderate Use	Extensive Use	Very Extensive Use
a. Face-to-face communication	1	2	3	4	5
b. Written communication	1	2	3	4	5
c. Telephone	1	2	3	4	5
d. Telecommunications	1	2	3	4	5
e. Other (specify): _____	1	2	3	4	5

34. Which statement best describes the process used by most clients to access the resource base? (check one)

- ☐ Clients directly contact the resource base.
- ☐ Clients contact a linkage agent who contacts the resource base.
- ☐ Clients contact the project which in turn contacts a linkage agent who then contacts the resource base.
- ☐ Clients contact the project which contacts the resource base or refers the client.
- ☐ Other (specify): _____

_____

35. The following audiences might be potential clients for dissemination services. Under the column headed "Present Clients", check each audience which is currently receiving dissemination services. Under "Target Clients", check the audience(s) toward which your project is currently directing efforts in order to stimulate demand. Under "Future Planned Clients", check the audiences to which efforts will be directed in the future to stimulate demand.

	Present Clients	Target Clients	Future Planned Clients
a. Internal project staff	☐	☐	☐
b. Other SEA staff	☐	☐	☐
c. Intermediate unit staff	☐	☐	☐
d. Linkage agents	☐	☐	☐
e. LEA administrators	☐	☐	☐
f. LEA teachers	☐	☐	☐
g. Students	☐	☐	☐
h. Other (Specify): _____	☐	☐	☐
i. Other (Specify): _____	☐	☐	☐

36. Approximately how much time do you spend on the following activities? (Circle one number for each activity)

Activities	Very Limited or Not At All	Limited	Moderate	Extensive	Very Extensive
a. Preparing quarterly reports for NIE	1	2	3	4	5
b. Preparing other reports	1	2	3	4	5
c. Reviewing unsolicited material sent by NIE	1	2	3	4	5
d. Responding to questions from NIE about your project (other than during visits by your project monitor)	1	2	3	4	5
e. Preparing your project proposal for submission to NIE	1	2	3	4	5

37. Please indicate the extent to which your project has been involved in discussions or negotiations between the Project Director or responsible SEA representative and the National Institute of Education, in the topical areas listed below by indicating how frequently those discussions or negotiations have taken place. Also, please check the appropriate response indicating whether you were satisfied generally with the discussions or negotiations. (Circle one number under frequency for each topical area and one number under satisfaction for each topical area for which discussions or negotiations occurred.)

		Frequency of Discussions or Negotiations					If discussions or negotiations occurred, how satisfied were you with the process with which discussions or negotiations occurred?				
		Never	Once every 2 or 3 years	Annually	2-3 times a year	Quarterly	Very Dissatisfied	Moderately Dissatisfied	Generally Mixed	Moderately Satisfied	Very Satisfied
a.	Project budget	1	2	3	4	5	1	2	3	4	5
b.	Long range (five year) plans	1	2	3	4	5	1	2	3	4	5
c.	Yearly operation plans	1	2	3	4	5	1	2	3	4	5
d.	Intra-project organization	1	2	3	4	5	1	2	3	4	5
e.	Relationship of the project with other SEA dissemination efforts	1	2	3	4	5	1	2	3	4	5
f.	Leadership/Management Objectives	1	2	3	4	5	1	2	3	4	5
g.	Resource Base Objectives	1	2	3	4	5	1	2	3	4	5
h.	Linkage Objectives	1	2	3	4	5	1	2	3	4	5
i.	Project staffing	1	2	3	4	5	1	2	3	4	5
j.	Conceptual framework (or rationale)	1	2	3	4	5	1	2	3	4	5

38. Please indicate the nature of your interactions with NIE relative to each of the scales listed below by circling the number which best describes your experiences. (For example, if your monitor never responded to your inquiries, then circle 1; if your monitor provided unsolicited advice, then circle 4. Circle one number for each type of interaction.)

	Very Limited or Not At All	Limited	Moderate	Extensive	Very Extensive
a. Responded to your inquiries	1	2	3	4	5
b. Monitored compliance with regulations	1	2	3	4	5
c. Suggested alternative solutions to your problems	1	2	3	4	5
d. Provided interpretations of program policy	1	2	3	4	5
e. Provided unsolicited advice	1	2	3	4	5
f. Provided technical assistance in reaching your objectives	1	2	3	4	5
g. Requested justification for your solutions to your problems	1	2	3	4	5
h. Allowed you to interpret program policy	1	2	3	4	5

39. If you could structure your interactions with your NIE monitor, what would you prefer them to be like?

Please indicate your desires about the nature of these interactions relative to each of the scales listed on this page by circling the number which best describes your desires. (For example, if you would like your monitor to extensively, "respond to your inquiries," then circle 4; if you would want him or her to monitor compliance with regulations to a limited degree, then circle 2. Circle one number for each type of interaction.)

	Very Limited or Not At All	Limited	Moderate	Extensive	Very Extensive
a. Respond to your inquiries	1	2	3	4	5
b. Monitor compliance with regulations	1	2	3	4	5
c. Suggest alternative solutions to your problems	1	2	3	4	5
d. Provide interpretations of program policy	1	2	3	4	5
e. Provide unsolicited advice	1	2	3	4	5
f. Provide technical assistance in reaching your problems	1	2	3	4	5
g. Allow you to interpret program policy	1	2	3	4	5

PROJECT DIRECTOR INTERVIEW GUIDE

"This report is authorized by Law 20 U.S.C. 1221e. While you are not required to respond, your cooperation is needed to make the results of this survey comprehensive, accurate and timely."

A2

Project Director Interview Guide

1. How would you describe your SEA's decision to apply for the State Capacity Building Program grant? Was the decision based on an opportunity to try a new area (i.e. dissemination)? Or to take advantage of available monies? Or because the Program fit into existing state dissemination efforts? Or because the Program fit within an existing state plan?

2. Whose idea was it to apply for the original State Capacity Building grants? What was his/her position and function? What contribution did this person make towards the proposal for the State Capacity Building Program grant? What is the current status of this person concerning dissemination, the project, and the SEA?

3. Using Template #1, please indicate which of these information resources were available prior to the beginning of the State Capacity Building project. Of the information resources available prior to the beginning of the project, where were these resources located and how were they funded? What audiences comprised the client base for dissemination service prior to the beginning of the State Capacity Building project?

4. Does your state have a comprehensive state dissemination plan? If so, is your State Capacity Building Project integrated with this comprehensive state plan for dissemination? If yes, how?

5. What is the relationship of the State Capacity Building project to other SEA dissemination efforts?

6. Were there any particular persons, practices, theories or models which influenced the development of your State Capacity Building Project? If yes, what were they? If yes, how have they influenced your project? If yes, how useful were they?

7. Using Template #2, please list the title and percentage of time in FTEs, or full-time equivalents, for each professional staff member paid at least partially by State Capacity Building grant funds. Then indicate the proportion of State Capacity Building grant funds which make up their total FTE. For example, if a linker works half-time (0.5 FTE) for the project and half of that half-time salary is paid by State Capacity Building grant funds enter 50% under "Percent paid with SCB funds." Finally, rate the dissemination experience of each of these professional staff member using the five point scale provided.

8. According to the original Grants Announcements, capacity building involves the elements of leadership/management, linkages, information resources, and clients. What types of training have been given to personnel in each of these areas through the State Capacity Building Project? Which personnel were involved in this training? Use Template #3 to guide your response.

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6/16/78

9. Process evaluation can be defined to mean evaluating the actual conduct of the project, such as comprehensiveness of the resource base, training needs of the linkers and the like. In what areas are process evaluation activities formally undertaken by your project? Clients receive dissemination services through the coordination efforts of the State Capacity Building project. What methods have been employed to evaluate the uses of these services? In what areas do you obtain formal assessments?

10. How is the information obtained from assessing the needs of clients used to modify the project or its services? How is the information obtained from assessment of client satisfaction or utilization used to modify the project or its services? How is the information obtained from formative evaluation of the project used to modify the project? Please cite examples where possible.

11. Where is the primary location or locations of the Information Resource Base(s) used by the State Capacity Building Project?

12. Including both those persons paid and not paid by State Capacity Building funds, approximately how many persons fill each of the following various positions within the Information Resource Base(s) utilized by the State Capacity Building Project? Use Template #4 to guide your response. What other positions exist?

13. What costs, if any, are incurred by clients who wish to make use of the project's services?

14. At what intervals are information resources inventoried and updated? What procedures are utilized for deciding what materials should be added, modified, or dropped?

15. Using Template #5, please list the number of linkage agents utilized by your project. List the number of linkers at each level (e.g., SEA-based, LEA-based and so forth) by their level of effort (e.g., part time or full time). The number of linkage agents should include all linkers utilized by the program, even though they are not being paid by State Capacity Building grant funds. However, indicate which linkers are paid for their services and which ones are non-paid. Also indicate the number of linkers which are generalists and the number which are specialists. A specialist is a linker with one specific content specialty or linker function while a generalist would be a linker with multiple functions. If linkers are indicated at more than one level, how are these levels integrated?

16. Please describe what role you see that the State Capacity Building Program could play in a nationwide system (or configuration) concerned with educational dissemination. Ideally, what are the long term results you hope will emerge from your project? From the total Program? To what extent do you expect those results to be achieved?

17. To what extent are your expectations for your State Capcity Building project reflected in the Grants Announcement? What changes, if any, would you suggest be made in the Grants Announcement? Are there alternative goals and objectives you feel would be more appropriate for this project than those ennunciated in the Grants Announcement?

18. How frequently is your project in contact with your project monitor? How does this contact occur (telephone, letters, etc.)? Who initiates these contacts?

19. To what extent do you think your monitor understands your project? Do you let your monitor know about changes in your project's objectives or plans before you change? After? Never? How do you report such changes? (If applicable) How has your monitor reacted?

20. To what extent do you report problems you face in this project to your project monitor? What kinds of problems? How frequently is this done? Do you tend to report such problems informally, such as over the phone, or more formally through reports or during visits by your monitor? Do you ever offer advice or suggestions to your monitor or others at NIE who are involved with this program? What happens to your reports and suggestions? What are some examples of problems or suggestions you have reported to your monitor?

21. To what extent does your project monitor offer unsolicited suggestions or advice to you? What are some examples of this? How did you respond? Why did you respond in that way? (If never offered) If your monitor were to offer such unsolicited advice or suggestions, how would you respond? Why?

TEMPLATE # 1 SITE:_____

A. FILES	AVAILABLE PRIOR TO SCB PROJECT START
1. ERIC	☐
2. AIR/ARM - Abstract of Instructional and Research Materials in Vocational and Technical Education (Center for Vocational Education, Ohio State University)	☐
3. Dissertation Abstracts - (Xerox University Microfilms)	☐
4. EC - Exceptional Child Education Abstracts (Council for Exceptional Children)	☐
5. Education Index	☐
6. FIDO - Fugitive Information Data Organizer (San Mateo Educational Resources Center - SMERC)	☐
7. NIMIS - National Instructional Materials Information System (National Center on Educational Media and Materials for the Handicapped, Ohio State University)	☐
8. NTIS -(National Technical Information Service)	☐
9. NYT/IB - New York Times Information Bank (New York Times, Inc.)	☐
10. PA - Psychological Abstracts (American Psychological Association - APA)	☐
11. Sociological Abstracts - (Sociological Abstracts, Inc. Brooklyn, New York)	☐
12. SSCI - Social Science Citation Index (Institute for Scientific Information - SCI). Also called Social Scisearch.	☐
13. Federal legislation file	☐
14. Promising practices file	☐

Note: Templates will be sent to interviewee in advance of the interview.

15. Listings/descriptions of federal and state funded innovative programs ☐

16. Listings/descriptions of operating local initiatives which are exemplary ☐

17. SEA human resource file ☐

18. Intermediate Service Agency human resource file ☐

19. LEA human resource file ☐

20. State legislation file ☐

21. Files on user needs in a state ☐

B. MATERIALS AND PRODUCTS

22. Lab and center products ☐

23. SEA products ☐

24. NDN products ☐

25. Project Information Packages (PIPs) ☐

26. Right-to-Read Packages ☐

27. PREP Packages (Putting Research into Educational Practice) ☐

28. State-produced instructional materials ☐

29. IHE (Institutes of Higher Education)-produced instructional materials ☐

30. Locally produced instructional materials ☐

31. ISA (Intermediate Service Agency) - produced instructional materials ☐

Note: Templates will be sent to interviewee in advance of the interview.

TEMPLATE #2

Site: _____

Title	FTE	Percent Paid With SCB Funds	Dissemination Experience: Very Limited 1	Limited 2	Moderate 3	Extensive 4	Very Extensive 5

A2.6

Note: Templates will be sent to interviewee in advance of the interview.

TEMPLATE #3

Site: _____

Area	Type of Personnel Trained	Type of Training (e.g., workshop, preservice, inservice)	General Content Covered	Amount of Training (days)
Leadership/ Management				
Linkage				
Information Resources				
Clients				

A2.7

Note: Templates will be sent to interviewee in advance of the interview.

TEMPLATE # 4

Site: _____

Title/Responsibilities	Number of Personnel
Resource Base Administrator, Director or Coordinator	_____
Search and retrieval specialists	_____
Linkers for ultimate clients	_____
Content specialists	_____
Transformation specialists	_____
Human resources	_____
Other (specify): _____	_____
Other (specify): _____	_____

A2.8

Note: Templates will be sent to interviewee in advance of the interview.

TEMPLATE # 5

Site: _____

Level of Linkers	Number of Linkers Part-time	Full-time	Number of Linkers Paid	Volunteers	Number of Linkers Who Are Specialists	Generalists
SEA-Based	_____	_____	_____	_____	_____	_____
IEA-Based	_____	_____	_____	_____	_____	_____
Region-Based	_____	_____	_____	_____	_____	_____
LEA-Based	_____	_____	_____	_____	_____	_____
Building-Based	_____	_____	_____	_____	_____	_____
Other (specify):						
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____

A2.9

Note: Templates will be sent to interviewee in advance of the interview.

CAPACITY BUILDING INDICANTS

The indicants on the following pages describe capacity building. They fall within six construct areas: comprehensive resource base, coordinated resource base, comprehensive linkage, coordinated linkage, institutionalization and equal access/equal opportunity. Please check the appropriate response for each indicant and answer all items. Thank you.

"This report is authorized by Law 20 U.S.C. 1221e. While you are not required to respond, your cooperation is needed to make the results of this survey comprehensive, accurate and timely."

[redacted]

[redacted]

[redacted]

	Do Not Provide	Provide	Prefer	Refer
A. [redacted]				
1. [redacted]	☐	☐	☐	☐
2. [redacted]	☐	☐	☐	☐
3. [redacted]	☐	☐	☐	☐
4. [redacted]	☐	☐	☐	☐
5. [redacted]	☐	☐	☐	☐
6. [redacted]	☐	☐	☐	☐
7. [redacted]	☐	☐	☐	☐
8. [redacted]	☐	☐	☐	☐
9. [redacted]	☐	☐	☐	☐
10. [redacted]	☐	☐	☐	☐
11. [redacted]	☐	☐	☐	☐
12. [redacted]	☐	☐	☐	☐
13. [redacted]	☐	☐	☐	☐
14. [redacted]	☐	☐	☐	☐
15. [redacted]	☐	☐	☐	☐
16. [redacted]	☐	☐	☐	☐
17. [redacted]	☐	☐	☐	☐
18. [redacted]	☐	☐	☐	☐
19. [redacted]	☐	☐	☐	☐
20. [redacted]	☐	☐	☐	☐
21. [redacted]	☐	☐	☐	☐
B. [redacted]	☐	☐	☐	☐
22. [redacted]	☐	☐	☐	☐
23. [redacted]	☐	☐	☐	☐
24. [redacted]	☐	☐	☐	☐
25. [redacted]	☐	☐	☐	☐
26. [redacted]	☐	☐	☐	☐
27. [redacted]	☐	☐	☐	☐
28. [redacted]	☐	☐	☐	☐
29. [redacted]	☐	☐	☐	☐
30. [redacted]	☐	☐	☐	☐
31. [redacted]	☐	☐	☐	☐

"This report is authorized by Law 20 U.S.C. 1221e. While you are not required to respond, your cooperation is needed to make the results of this survey comprehensive, accurate and timely."

RESOURCE BASE

Please list the five most important Resource Base Elements (in relationship to serving your clients and meeting their requests). Please list in order of importance.

(1) _____

(2) _____

(3) _____

(4) _____

(5) _____

COORDINATED RESOURCE BASE

	very extensive	extensive	moderate	limited	non existent
1. Resource base staff awareness of components of comprehensive resource base is	☐	☐	☐	☐	☐
2. Project staff awareness of components of a comprehensive resource base is	☐	☐	☐	☐	☐
3. SEA inner circle of administrators awareness of components of a comprehensive resource base is	☐	☐	☐	☐	☐
4. Agency-wide understanding of a common definition of dissemination is	☐	☐	☐	☐	☐
5. A formal referral process that incorporates procedures to avoid duplication of effort	☐	☐	☐	☐	☐
6. SCB project awareness of other sources contacted by client is	☐	☐	☐	☐	☐
7. IR Component service to Title IVC special education, vocational education is	☐	☐	☐	☐	☐
8. Other resource agencies (IRE's, museums, state library system) awareness of SCB project staff and services is	☐	☐	☐	☐	☐
9. Responses coupled with one or more referrals are	☐	☐	☐	☐	☐
10. Multiple source responses to single source (e.g., ERIC) responses are	☐	☐	☐	☐	☐
11. The rate of rejections to responses are	☐	☐	☐	☐	☐
12. The number of contacts/referrals of requests to other resource agencies are	☐	☐	☐	☐	☐
13. Communications between linkage agents and resource base(s) are	☐	☐	☐	☐	☐
14. Usage of the compendium (documented compilations) of resources by other resource agencies is	☐	☐	☐	☐	☐
15. Redundancy in types of information services available from different resource agencies is	☐	☐	☐	☐	☐
16. The frequency of coupling a human resource file and research information files in responding to client requests is	☐	☐	☐	☐	☐
17. Other resource agencies (IRE's, museums, state library system) usage of SCB project staff or services is	☐	☐	☐	☐	☐

COMPREHENSIVE
LINKAGE
ELEMENTS

Please check those elements listed which are available and involved to the Capacity Building Program. For those checked YES, then rate the frequency of involvement (degree of use) on the five-point scale.

	AVAILABILITY		DEGREE OF USE				
	YES	NO	extensive	extensive	moderate	limited	minimal
PERSONNEL							
SEA LEVEL							
1. Resource Base Staff	☐	☐	☐	☐	☐	☐	☐
2. Content-oriented specialists (SEA)	☐	☐	☐	☐	☐	☐	☐
3. Title I staff	☐	☐	☐	☐	☐	☐	☐
4. Special Education staff	☐	☐	☐	☐	☐	☐	☐
5. Adult Education staff	☐	☐	☐	☐	☐	☐	☐
6. MIS staff	☐	☐	☐	☐	☐	☐	☐
7. Vocational Education staff	☐	☐	☐	☐	☐	☐	☐
8. Title IVC staff	☐	☐	☐	☐	☐	☐	☐
9. Early Childhood Education staff	☐	☐	☐	☐	☐	☐	☐
10. Career Education staff	☐	☐	☐	☐	☐	☐	☐
11. Urban Education staff	☐	☐	☐	☐	☐	☐	☐
12. Right-to-Read staff	☐	☐	☐	☐	☐	☐	☐
13. Migrant Education staff	☐	☐	☐	☐	☐	☐	☐
14. Handicapped Education staff	☐	☐	☐	☐	☐	☐	☐
15. State Library System staff	☐	☐	☐	☐	☐	☐	☐
16. Other State Agency staff	☐	☐	☐	☐	☐	☐	☐
17. Intermediate Service Agency staff	☐	☐	☐	☐	☐	☐	☐
LEA LEVEL							
18. LEA representatives	☐	☐	☐	☐	☐	☐	☐
19. Building level representatives	☐	☐	☐	☐	☐	☐	☐
20. Local school librarians	☐	☐	☐	☐	☐	☐	☐
21. School Board members	☐	☐	☐	☐	☐	☐	☐
22. State Associations (content-oriented) staff	☐	☐	☐	☐	☐	☐	☐
23. Regional Education Center staff	☐	☐	☐	☐	☐	☐	☐
24. Project specific publications	☐	☐	☐	☐	☐	☐	☐
25. SEA publications	☐	☐	☐	☐	☐	☐	☐
26. Newspapers	☐	☐	☐	☐	☐	☐	☐
27. Educational Television	☐	☐	☐	☐	☐	☐	☐
28. Closed circuit Television	☐	☐	☐	☐	☐	☐	☐
29. Commercial Television	☐	☐	☐	☐	☐	☐	☐
30. Radio	☐	☐	☐	☐	☐	☐	☐
31. Audiovisual Aids	☐	☐	☐	☐	☐	☐	☐
32. Computer-based user systems	☐	☐	☐	☐	☐	☐	☐
33. Slides	☐	☐	☐	☐	☐	☐	☐
34. Films	☐	☐	☐	☐	☐	☐	☐
35. Prerecorded cassettes	☐	☐	☐	☐	☐	☐	☐

COORDINATED LINKAGE

	Very Extensive	Extensive	Moderate	Limited	Non Existent
1. The proportion of personal linkage agents who are aware of components of the linkage system used by SCEP is	☐	☐	☐	☐	☐
2. The proportion of personal linkage agents who are aware of linkage services available through the SCEP	☐	☐	☐	☐	☐
3. The proportion of SCE project staff who are aware of components of the linkage system is	☐	☐	☐	☐	☐
4. The proportion of administrators within the top three levels of the SEA who are aware of the components of the linkage system is	☐	☐	☐	☐	☐
5. The proportion of all personal linkage agents who use the compendium of resources is	☐	☐	☐	☐	☐
6. The usage of the compendium of resources by all personal linkage agents is	☐	☐	☐	☐	☐
7. In responding to client requests, the coupling of personal linkage agents and other resources is	☐	☐	☐	☐	☐
8. The usage of the compendium of linkages by all personal linkage agents is	☐	☐	☐	☐	☐
9. The usage of the compendium of linkages by SCE Project staff is	☐	☐	☐	☐	☐
10. The long range planning for coordination of satellite linkages with linkages services of central facilities is	☐	☐	☐	☐	☐
11. The amount that LEA committees determine priorities and information needs of local educators is	☐	☐	☐	☐	☐
12. Communication flows between linkage agents and the resource base(s) are	☐	☐	☐	☐	☐
13. The use of training programs for personal linkage agents is	☐	☐	☐	☐	☐
14. Recognition of typical problems (e.g. overload, marginality, delivery problems, monitoring problems) is	☐	☐	☐	☐	☐
15. The times a client must contact many sources in order to have his/her information needs met is	☐	☐	☐	☐	☐
16. The amount that duplication of effort is avoided due to a formal referral process is	☐	☐	☐	☐	☐
17. The development of training programs for personal linkage agents is	☐	☐	☐	☐	☐
18. The addressing of typical problems (e.g. overload, marginality, delivery problems, monitoring problems) is	☐	☐	☐	☐	☐

INSTITUTIONALIZATION

(check one)

		Very Extensive	Extensive	Moderate	Limited	Non existent
1.	Planning on an agencywide basis for dissemination is	☐	☐	☐	☐	☐
2.	Understanding of a common definition of dissemination on an agencywide basis is	☐	☐	☐	☐	☐
3.	The provision for state funding of SCB activities after the grant period ends is	☐	☐	☐	☐	☐
4.	The involvement of SCB project staff in preparation of dissemination plans for those federal and state plans requiring dissemination (e.g., 94-142, IV-C, MDH) is	☐	☐	☐	☐	☐
5.	Efforts by the SCB project to stimulate increased demands are	☐	☐	☐	☐	☐
6.	Efforts to gain support from clients, potential support groups, and others within the larger organization are	☐	☐	☐	☐	☐
7.	The SCB project "conversational credibility" in the SEA (e.g., project functioning is recognized and interest is shown in it) is	☐	☐	☐	☐	☐
8.	The training and recruitment for well defined role positions related to dissemination in the SEA is	☐	☐	☐	☐	☐
9.	The centralization of management of dissemination activities is	☐	☐	☐	☐	☐
10.	The provision for gradual increases of state support throughout the project period is	☐	☐	☐	☐	☐
11.	Documentation regarding the project (e.g., position papers, role descriptions, standard operating procedures, quality control procedures, rationale) is	☐	☐	☐	☐	☐
12.	Budgeting on an agencywide basis for dissemination is	☐	☐	☐	☐	☐
13.	State Board action on dissemination other than action related to SCB project funding is	☐	☐	☐	☐	☐
14.	The consideration of the dissemination function in regular planning activities in the SEA is	☐	☐	☐	☐	☐
15.	The mentioning of dissemination in the SEA goals is	☐	☐	☐	☐	☐
16.	The contribution of other federal and state funding sources to a coordinated function of dissemination	☐	☐	☐	☐	☐
17.	The continuity of "titled" roles within the SEA related to dissemination despite personnel changes is	☐	☐	☐	☐	☐
18.	The amount of state legislation dealing specifically with dissemination is	☐	☐	☐	☐	☐
19.	The awareness by those outside the SEA of the functions being performed by the SCB project is	☐	☐	☐	☐	☐
20.	Efforts to create awareness among clients, potential support groups, and others within the larger organization are	☐	☐	☐	☐	☐
21.	The amount dissemination is mentioned in State Board goals is	☐	☐	☐	☐	☐
22.	The acceptance by those outside the SEA of the functions being performed by the SCB project is	☐	☐	☐	☐	☐
23.	The understanding by those in the SEA of the role behaviors performed by those in the SCB project is	☐	☐	☐	☐	☐
24.	The involvement of the SCB project director in responding to the MDH solicitation was	☐	☐	☐	☐	☐
25.	Mentioning of the function of dissemination in the State Superintendent's annual report is	☐	☐	☐	☐	☐
26.	The running of articles related to SCB project activities in agency publications is	☐	☐	☐	☐	☐
27.	The extent to which the SCB project was planned by an agencywide group was	☐	☐	☐	☐	☐
28.	The participation in executive team sessions, or their equivalent by someone who is closely related to the Project and designated as official dissemination representative is	☐	☐	☐	☐	☐
29.	The amount that the Project's five year plan is updated as needed and made available regularly is	☐	☐	☐	☐	☐
30.	The function of dissemination is located on the organization chart of the SEA	☐ Yes	☐ No			
31.	There is an agency line item specific to the function of dissemination in the SEA	☐ Yes	☐ No			

EQUAL ACCESS/EQUAL OPPORTUNITY

How extensively does each of the following occur?

	very extensively	extensively	moderately	limited	very limited
1. Project serves clients with varied characteristics	☐	☐	☐	☐	☐
2. Targeted communications aimed at professional educators who deal with minorities, women, and the disadvantaged are	☐	☐	☐	☐	☐
3. Targeted communications aimed at professional educators who deal with minorities, women, and the disadvantages are	☐	☐	☐	☐	☐
4. Prepackaged information prepared in "hot topic" areas to deal with needs of minorities, women, and disadvantaged is	☐	☐	☐	☐	☐
5. Women and minority persons act as linkage agents	☐	☐	☐	☐	☐
6. There is a policy statement for insuring equal access/ equal opportunity at the state level	☐	☐	☐	☐	☐
7. Women and minorities are proportionately represented among clients	☐	☐	☐	☐	☐
8. The important policy roles played by women and minority persons in the functioning of information resource bases are	☐	☐	☐	☐	☐

SEA ADMINISTRATOR INTERVIEW GUIDE

"This report is authorized by Law 20 U.S.C. 1221e. While you are not required to respond, your cooperation is needed to make the results of this survey comprehensive, accurate and timely."

A4

NTS RESEARCH CORP.
2634 Chapel Hill Blvd.
Durham, N.C. 27707
800/334-0077

OMB No.

State _____
Level _____

SEA ADMINISTRATOR INTERVIEW GUIDE

Directions:

Each question asks you to rate or categorize your State Education Agency (SEA) with respect to some aspect of its organization or operations. Your answers will be held in strict confidence and your individual responses will not be reported. Please answer each question as honestly and openly as you can.

. Which statement best describes your perception of the SEA's decision-making process? (check one)

- ☐ Most decisions are made by discussion and consensus by intermediate level administrators and professional staff members.
- ☐ Most decisions are made at the intermediate level of administration following consensus and recommendation by staff members below.
- ☐ Most decisions are made at intermediate levels of administration with little input from other professional staff.
- ☐ Most decisions are made at the top levels of administration following consensus and recommendation by staff members below.
- ☐ Most decisions are made at the top levels of administration with input from key personnel below.
- ☐ Most decisions are made at the top levels of administration with little input from below.
- ☐ Other (specify): _____

A. How would you describe your SEA's emphasis on organization rules and procedures? Are rules and procedures formalized and rigid-or-informal and relaxed?

B. How flexible/rigid is the SEA in efforts to implement new programs or make changes in existing programs? (Circle one number)

Very Rigid	Rigid	Moderate	Flexible	Very Flexible
1	2	3	4	5

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What level of effort does the SEA spend in the following roles with respect to the LEAs? (circle one number for each role)

	Not an SEA Function or Very Limited	Limited	Moderate	Extensive	Very Extensive
a. Responding to LEA requests for services	1	2	3	4	5
b. Monitoring compliance with regulations	1	2	3	4	5
c. Recordkeeping (other than monitoring compliance)	1	2	3	4	5
d. Fostering LEA educational change	1	2	3	4	5

. LEAs, Intermediate Education Agencies (IEAs), if present, and the SEA can have different degrees of influence in initiating significant educational improvements in schools. What is your estimate of the degree of influence for each of these agencies in your state? (Circle one number for each agency)

	Very Limited or Not At All	Limited	Moderate	Extensive	Very Extensive
a. LEAs	1	2	3	4	5
b. IEAs	1	2	3	4	5
c. SEA	1	2	3	4	5

. The SEA sometimes receives monies from the federal government which are designed to stimulate program or project initiation and development in particular areas. These monies, often referred to as "seed money," usually require varying amounts of matching state funds and terminate after an initial period of time has elapsed so that the program or project might continue without additional direct federal funding. Over the past five years, what is your best estimate of the percentage of programs or projects initiated through federal seed money which have become state supported once federal funds have terminated? _____percent

. How would you describe your SEA's past performance in applying for contract and grant funds? Are decisions based on the opportunity to try new areas? Or to take advantage of available monies? Or because the available monies coincided with existing SEA programs? Or because the available monies fit into state plans? How important are each of these possible reasons?

7. Often the offices of an SEA provides the following services: Research, Development, Dissemination/Diffusion, Evaluation, Management and Planning. How extensively do you feel each of these services is provided for by your SEA?

	Very Limited or Not At All	Limited	Moderate	Extensive	Very Extensive
Research	1	2	3	4	5
Development	1	2	3	4	5
Dissemination/Diffusion	1	2	3	4	5
Evaluation	1	2	3	4	5
Management	1	2	3	4	5
Planning	1	2	3	4	5

8. If you have a request for information or assistance,

   a. Is there one person or office to which you initially would direct your request regardless of the nature of the request? -OR-

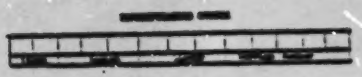
   b. Would the nature of the request determine the person or office which you initially would contact?

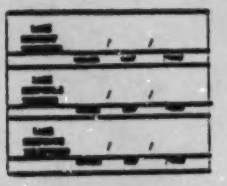
      (If a) What is the name of the office and/or title of the person to whom you would direct the request?

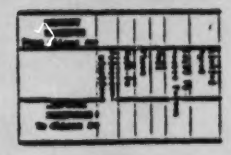
      (If b) Please give examples of the types of office or persons you would contact for various types of requests.

CLIENT ASSESSMENT PACKAGE

"This report is authorized by Law 20 U.S.C. 1221a. While you are not required to respond, your cooperation is needed to make the results of this survey comprehensive, accurate and timely."







SERVICE FORM

CLIENT'S NAME _____

SCHOOL/INSTITUTION _____

MAILING ADDRESS _____
street

_____
city county zip code

1. Is the client a ☐ first time user ☐ repeat user
☐ # times prior use

2. Problem Statement. (Please give a narrative description of the problem about which you are requesting information or assistance. Be specific, define phrases with special meaning. Indicate any aspects which should be excluded.)

_____

_____

_____

_____

3. To what extent did you have to assist the client in developing the problem statement

Not At All	Limited	Moderately	Extensively	Very Extensively
☐	☐	☐	☐	☐

"This report is authorized by Law 20 U.S.C. 1221e. While you are not required to respond, your cooperation is needed to make the results of this survey comprehensive, accurate and timely."

4. Purpose Statement. (Please write a narrative description of the reason or purpose for which the information and assistance will be used. Please be specific.)

_____

_____

_____

_____

Please check the appropriate box below which best summarizes the intended purpose of this request.

- ☐ awareness (background/ reading assistance only)
- ☐ classroom planning/instruction
- ☐ regular curriculum development/ revision
- ☐ special program/project planning
- ☐ program evaluation
- ☐ dissertation, thesis research
- ☐ speech or report
- ☐ policy development
- ☐ graduate course
- ☐ other personal professional development
- ☐ other (please specify) _____

_____

_____

5. Category (For what area(s) has the client requested information? Please check all that apply.)

Curriculum Areas

- ☐ Art Education
- ☐ Business Education
- ☐ Consumer Education
- ☐ Dramatics
- ☐ Driver Education
- ☐ Drug/Alcohol Education
- ☐ Environmental Education
- ☐ Ethnic Studies
- ☐ Foreign Language Arts
- ☐ Health Education
- ☐ Home Economics
- ☐ Language Arts
- ☐ Literature
- ☐ Mathematics
- ☐ Metric Education
- ☐ Music Education
- ☐ Nutrition
- ☐ Physical Education
- ☐ Reading
- ☐ Religious
- ☐ Safety Education
- ☐ Science
- ☐ Sex Education
- ☐ Social Studies
- ☐ Vocational Education

Learners with Special Needs

- ☐ Adult Learners
- ☐ Behavior Disordered
- ☐ Bilingual
- ☐ Community Members
- ☐ Drop-Outs
- ☐ Early Childhood
- ☐ Educable Ment. Handi.
- ☐ Educationally Handicap.
- ☐ Gifted & Talented
- ☐ Hearing Impaired
- ☐ Homebound/Hospitalized
- ☐ Learning Disabled
- ☐ Migrant Learners
- ☐ Multiply Handicapped
- ☐ Neglected/Delinquent
- ☐ Parents
- ☐ Physically Handicapped
- ☐ Severe/Profound Handi.
- ☐ Speech Defective
- ☐ Trainable Ment. Handi.
- ☐ Visually Impaired

Services

- ☐ Child Care (Day Care)
- ☐ Child Welfare
- ☐ Conferences
- ☐ Consultations
- ☐ Counseling/Guidance
- ☐ Demonstrations
- ☐ Diagnostics
- ☐ Evaluation
- ☐ Information Dissemination
- ☐ Information Retrieval
- ☐ Instruction
- ☐ Learning Center/Library
- ☐ Media/Materials
- ☐ Media Production
- ☐ Medical & School Health
- ☐ Organizational Develop.
- ☐ Personal Custodial Care
- ☐ Psychiatric
- ☐ Psychological
- ☐ Rehabilitation
- ☐ Remediation
- ☐ Research
- ☐ Residential
- ☐ Staff Development
- ☐ Statistics
- ☐ Teacher Center
- ☐ Workshops

Special Programs

- ☐ Alternative Education
- ☐ Child Abuse and Neglect
- ☐ Community Education
- ☐ Compensatory Education
- ☐ Desegregation, Civil Rights
- ☐ Elim. of Sex Discrim. (Ti. IX)
- ☐ Individualized Instruction
- ☐ Inservice Teacher Training
- ☐ Least Restrictive Altern.
- ☐ Mainstreaming
- ☐ Motivation
- ☐ Normalization
- ☐ Parenthood Education
- ☐ Pre-Service Teacher Train.
- ☐ Right-To-Read
- ☐ Rights (Student/Parent)
- ☐ School Foods
- ☐ Staff Development
- ☐ Truant Alternative Education
- ☐ Womens Studies

Administrative Areas

- ☐ Advisory Boards
- ☐ Auditing
- ☐ Assessment
- ☐ Community Relations
- ☐ Enrollment
- ☐ Facilities & Physical Plant
- ☐ Financial
- ☐ Grants/Funding
- ☐ Legal
- ☐ Organizational
- ☐ Operational
- ☐ Personnel & Staffing
- ☐ Steering Committee
- ☐ Supervision
- ☐ Transportation

Concept or Skill Areas

- ☐ Affective Education
- ☐ Aging
- ☐ Career Education
- ☐ Child Development
- ☐ Communication Skills
- ☐ Daily Living Skills
- ☐ Death and Dying
- ☐ Educational Technology
- ☐ Emotional Development
- ☐ Moral Education
- ☐ Motor Skills
- ☐ Perceptual Skills
- ☐ Recreation Readiness
- ☐ Self Concept
- ☐ Social Development
- ☐ Values Education
- ☐ Visual Literacy

Program Planning, Development and Evaluation

- ☐ Effective Ed. Programming
- ☐ Educational Planning
- ☐ Pre-Service Education
- ☐ In-Service Education
- ☐ Teaching Methods & Techniques
- ☐ Instrument Development
- ☐ Proposal Development
- ☐ Curriculum Dev./Revision
- ☐ Curriculum Evaluation
- ☐ Materials Evaluation
- ☐ Program Evaluation
- ☐ Student Evaluation
- ☐ Teacher Evaluation

OTHERS, PLEASE DESCRIBE: _____

_____

6. STUDENT GRADE LEVEL

(Concerning what grade level (s) has the client requested information or assistance. Grade level refers to level of information requested, not level of user. Please check all that apply.)

☐Pre-K	☐4	☐ 9	☐Higher Education/Post-secondary (Credit)
☐K	☐5	☐10	☐Continuing Education/Adult Education (Non-Credit)
☐1	☐6	☐11	☐Vocational Technical Education
☐2	☐7	☐12	☐Other (please specify) _____
☐3	☐8	☐K-12	☐Not Applicable

7. TIME SPAN

(Provide the time span of information the client desires.)

☐ Current year only	☐Historical
☐ Last two years	☐Other (please specify)_____
☐ Last five years	
☒ 1970-current	

8. Who plans to use the information/assistance provided? (check one)

☐ individual requestor only

☐ one other individual (in addition to requestor)

☐ several other individuals (in addition to requestor)

☐ informally constituted group (in addition to requestor)

☐ formal group, class, or committee (in addition to requestor)

☐ someone other than the requestor

9. What other sources of information and assistance has the client contacted previously to contacting you?

_____

_____

_____

10. What other souces of information and assistance will the client be contracting in addition to this service?

_____

_____

10. POSITION

What position does the client hold (please check the single position which most closely describes the role the client plays in education.)

LEA PERSONNEL
- Teacher
  - ☐Preschool
  - ☐Kindergarten
  - ☐Elementary School
  - ☐Middle School
  - ☐Secondary School
- Administrative or Ancillary Personnel
  - ☐Guidance Counselor
  - ☐School Health or Nurse
  - ☐School Dept. Head, Dean
  - ☐Superintendent (Asst)
  - ☐School Board Member
  - ☐School Psychologist
  - ☐Principal (or Asst.)
  - ☐Curriculum Specialist
  - ☐School Librarian
- ☐OTHER (please specify)_____

SEA PERSONNEL
- ☐Title IX Coordinator
- ☐Title I Coordinator
- ☐Curriculum/Instruct. Specialist
- ☐Research, Planning, and Evaluation
- ☐Administration
- ☐Title IV Coordinator
- ☐Vocational Education
- ☐Bilingual Education
- ☐Special Education

POST SECONDARY ED. PERSONNEL
- ☐Jr./Technical College Professional
- ☐Institute of Higher Education Professional

☐INTERMEDIATE SERVICE AGENCY (ISA PERSONNEL)

STATE OFFICES
- ☐State Board Member
- ☐State Commission/ State Advisory
- ☐Governor's Office
- ☐Legislator

STUDENT
- ☐Elementary
- ☐Middle School
- ☐Secondary
- ☐Undergraduate
- ☐Graduate

GENERAL PUBLIC
- ☐Parent
- ☐Community Group

11. LOCATION

Which of the following best describes the geographic location of this client?

- ☐Rural farming community
- ☐Small city or town of fewer that 50,000 people that is not a suburb of a larger city
- ☐Medium-sized city (50,000-100,000)
- ☐Suburb of a medium-sized city
- ☐Large city (100,000-500,000)
- ☐Suburb of a large city
- ☐Very large city (over 500,000)
- ☐Suburb of a very large city
- ☐N.A.

12. AWARENESS

How did the client find out about these services?

- ☐Presentation by service staff
- ☐State Education Agency consultant
- ☐Local School or District Representative
- ☐Articels or Publication: News or Journal
- ☐District Newsletters
- ☐Brochure
- ☐Colleague
- ☐Linkage Agent
- ☐Professional Association
- ☐Teacher in your school
- ☐Don't recall
- ☐Other (please specify)_____

The following items are optional. While the client is not required to respond, cooperation is needed to make the results of this survey comprehensive, accurate and timely.

13. PROFESSIONAL EXPERIENCE IN THE FIELD OF EDUCATION.

- ☐ None
- ☐ 1 to 2 years
- ☐ 3 to 5 years
- ☐ 6 to 10 years
- ☐ 11 or more years

14. EDUCATION

What is the highest degree that the client has achieved?

- ☐ Less than a B.A. or B.S.
- ☐ a B.A. or B.S.
- ☐ an M.A. or M.S.
- ☐ additional graduate credits beyond a B.A. or B.S.
- ☐ a Ph.D. or Ed.D.
- ☐ Other (please describe: _____)

Client is currently:

- ☐ Enrolled in a formal education program
- ☐ Planning to take courses
- ☐ Taking selected courses
- ☐ Not applicable

PROCESS TIME

[illegible] 30.

[illegible] [illegible] [illegible] [illegible]

(This data field is to be completed by the individual who actually processed the client's request.)

1. What is the requestor has rating of sufficiency of the problem statement? (If requestor has staff, rather than library agent or client presented the problem statement, do not answer this question.)

☐ Major revision ☐ Sufficient (minor editing needed) ☐ No editing (good problem statement)

2. Is it necessary to contact the requestor again to renegotiate the problem prior to completing the search?

☐ Yes ☐ No If yes, why? _____

3. What information files/sources were searched?

	[illegible]	[illegible]		[illegible]	[illegible]
[illegible]	☐	☐	Professional Collection (e.g. books, monographs)	☐	☐
Other Internal Info. Files	☐	☐	Curriculum/Instructional Materials	☐	☐
Prepackaged Information	☐	☐	Legislation/Regulations	☐	☐
Human Resources Dir.	☐	☐	Program/Project Descriptions	☐	☐
Other Agencies (e.g. Library)	☐	☐	Other Reference Tools	☐	☐
Audio-Visual/Computer media, file	☐	☐			

4. How many of the following were provided to requestor? (please check appropriate boxes.)

[illegible]	1-2	3-5	6-10	11-15	16-30	31-100	More than 100
Bibliographic Citations without Abstracts	☐	☐	☐	☐	☐	☐	☐
ERIC Abstracts	☐	☐	☐	☐	☐	☐	☐
ERIC Documents							
In Photocopy form	☐	☐	☐	☐	☐	☐	☐
In Microfiche form	☐	☐	☐	☐	☐	☐	☐
Non-computerized Bibliography	☐	☐	☐	☐	☐	☐	☐
Journal Articles							
In Photocopy form	☐	☐	☐	☐	☐	☐	☐
In Microfiche form	☐	☐	☐	☐	☐	☐	☐
Professional Materials							
In Photocopy form	☐	☐	☐	☐	☐	☐	☐
In Microfiche form	☐	☐	☐	☐	☐	☐	☐
Program/Project Descriptions	☐	☐	☐	☐	☐	☐	☐
Human Resources Reference	☐	☐	☐	☐	☐	☐	☐
Curriculum/Instruct. Materials	☐	☐	☐	☐	☐	☐	☐
Audiovisual Materials	☐	☐	☐	☐	☐	☐	☐
Other (please describe) _____	☐	☐	☐	☐	☐	☐	☐

This report is authorized by Law 20 U.S.C. [illegible]. While you are not required to respond, your cooperation is needed to make the results of this survey [illegible] comprehensive, accurate and timely.

IDENTIFICATION NO.

State Region Linker

LINKER FORM

Linker's Name _____

School/Institution _____

Mailing Address _____
Street

_____
City State Zip Code

1. POSITION

LEA

Teacher
- ☐ Preschool
- ☐ Kindergarten
- ☐ Elementary
- ☐ Secondary

Administrative & Ancillary
- ☐ Guidance Counselor
- ☐ Principal
- ☐ Local Superintendent (Assist.)
- ☐ LEA Curriculum Specialist
- ☐ Librarian

☐ Intermediate Service Agency

SEA
- ☐ Curriculum/Instruction Specialist
- ☐ Research, planning and evaluation specialist
- ☐ Vocational Education
- ☐ Special Education
- ☐ Bilingual Education
- ☐ Title I Coordinator
- ☐ Title IV Coordinator
- ☐ Title IX Coordinator

Post Secondary Educational
- ☐ Junior/Technical College Professional
- ☐ Institute of Higher Education Professional
- ☐ Graduate Student

Other (please specify) _____
_____

2. EDUCATION

What is the highest degree that you have achieved?

☐ Less than a B.A. or B.S. ☐ a B.A. or a B.S. ☐ additional graduate credits beyond a B.A. or B.S.

☐ an M.A. or an M.S. ☐ additional graduate credits beyond an M.A. or an M.S.

☐ a Ph.D. or Ed.D ☐ Other (please describe)_____

3. To what extent do you perform the following functions in your role as linking agent?

	Never	Rarely	Sometimes	Often	Usually
Spread of information through media, printed materials, and other one-way methods to clients.	☐	☐	☐	☐	☐
Exchange of information between clients and the projects.	☐	☐	☐	☐	☐
Encouragement and/or training to provide decision making skills which enable a choice of information and activity from alternatives.	☐	☐	☐	☐	☐
Assisting clients in implementing new methods.	☐	☐	☐	☐	☐

4. PROFESSIONAL

☐ 0 to 2 years ☐ 3 to 5 years ☐ 6 to 10 years ☐ 11 or more years

AS.7

"This report is authorized by Law 20 U.S.C. 1221e. While you are not required to respond, your cooperation is needed to make the results of this survey comprehensive, accurate and timely."

5. Linkers come from different backgrounds with different types of training and experience. For the content areas listed below, please indicate whether you have substantial expertise or some expertise by filling in the appropriate circle. If you have little or no expertise, leave the circles blank.

Substantial Expertise	Some Expertise	Curriculum Areas
○	○	Art Education
○	○	Business Education
○	○	Consumer Education
○	○	Dramatics
○	○	Driver Education
○	○	Drug/Alcohol Education
○	○	Environmental Education
○	○	Ethnic Studies
○	○	Foreign Language Arts
○	○	Health Education
○	○	Home Economics
○	○	Language Arts
○	○	Literature
○	○	Mathematics
○	○	Metric Education
○	○	Music Education
○	○	Nutrition
○	○	Physical Education
○	○	Reading
○	○	Religious
○	○	Safety Education
○	○	Science
○	○	Sex Education
○	○	Social Studies
○	○	Vocational Education
		Learners with Special Needs
○	○	Adult Learners
○	○	Behavior Disordered
○	○	Bilingual
○	○	Community Members
○	○	Drop-Outs
○	○	Early Childhood
○	○	Educable Ment. Handi.
○	○	Educationally Handicap.
○	○	Gifted & Talented
○	○	Hearing Impaired
○	○	Homebound/Hospitalized
○	○	Learning Disabled
○	○	Migrant Learners
○	○	Multiply Handicapped
○	○	Neglected/Delinquent
○	○	Parents
○	○	Physically Handicapped
○	○	Severe/Profound Handi.
○	○	Speech Defective
○	○	Trainable Ment. Handi.
○	○	Visually Impaired

Substantial Expertise	Some Expertise	Services
○	○	Child Care (Day Care)
○	○	Child Welfare
○	○	Conferences
○	○	Consultations
○	○	Counseling/Guidance
○	○	Demonstrations
○	○	Diagnostics
○	○	Evaluation
○	○	Information Dissem.
○	○	Information Retrieval
○	○	Instruction
○	○	Learning Center/Library
○	○	Media/Materials
○	○	Media Production
○	○	Medical & School health
○	○	Organizational Develop.
○	○	Personal Custodial Care
○	○	Psychiatric
○	○	Psychological
○	○	Rehabilitation
○	○	Remediation
○	○	Research
○	○	Residential
○	○	Staff Development
○	○	Statistics
○	○	Teacher Center
○	○	Workshops
		Special Programs
○	○	Alternative Education
○	○	Child Abuse and Neglect
○	○	Community Education
○	○	Compensatory Education
○	○	Desegregation, Civil Rights
○	○	Elim of Sex Discrim. (Tit. IX)
○	○	Individualized Instruction
○	○	Inservice Teacher Training
○	○	Least Restrictive Altern.
○	○	Mainstreaming
○	○	Motivation
○	○	Normalization
○	○	Parenthood Education
○	○	Pre-Service Teacher Train.
○	○	Right-To-Read
○	○	Rights (Student/Parent)
○	○	School Foods
○	○	Staff Development
○	○	Truant Alternative Education
○	○	Womens Studies

Substantial Expertise	Some Expertise	Administrative Areas
○	○	Advisory Boards
○	○	Auditing
○	○	Assessment
○	○	Community Relations
○	○	Enrollment
○	○	Facilities & Physical Plant
○	○	Financial
○	○	Grants/Funding
○	○	Legal
○	○	Organizational
○	○	Operational
○	○	Personnel & Staffing
○	○	Steering Committee
○	○	Supervision
○	○	Transportation
		Content or Skill Areas
○	○	Affective Education
○	○	Aging
○	○	Career Education
○	○	Child Development
○	○	Communication Skills
○	○	Daily Living Skills
○	○	Death and Dying
○	○	Educational Technology
○	○	Emotional Development
○	○	Moral Education
○	○	Motor Skills
○	○	Postsecond Skills
○	○	Recreation Readiness
○	○	Self Concept
○	○	Social Development
○	○	Values Education
○	○	Visual Literacy
		Program Planning, Development and Evaluation
○	○	Effective Ed. Programming
○	○	Educational Planning
○	○	Pre-Service Education
○	○	In-Service Education
○	○	Teaching Methods & Techniques
○	○	Instrument Development
○	○	Proposal Development
○	○	Curriculum Dev./Revision
○	○	Curriculum Evaluation
○	○	Materials Evaluation
○	○	Program Evaluation
○	○	Student Evaluation
○	○	Teacher Evaluation

○ ○ OTHERS, PLEASE DESCRIBE: _____

_____ _____

6. To what extent do you perform the following functions in your role as linking agent?

	Never	Rarely	Sometimes	Often	Usually
ollecting and organizing information (e.g., securing and arranging information for client problems)	☐	☐	☐	☐	☐
nalyzing information (e.g., determining relevancy of information to client problems)	☐	☐	☐	☐	☐
nalyzing problems (e.g., translating client problems into informational and resource needs)	☐	☐	☐	☐	☐
onitoring ideas (e.g., keeping abreast of recent educational practices and innovations)	☐	☐	☐	☐	☐
naging conflict (e.g., helping others resolve discord)	☐	☐	☐	☐	☐
tervening (e.g., proactively seeking client needs)	☐	☐	☐	☐	☐
mmunicating (e.g., maintaining open personal communication with clients)	☐	☐	☐	☐	☐
ssemination (e.g., a two-way process for sharing information with clients)	☐	☐	☐	☐	☐
anning (e.g., preparing for future needs and services)	☐	☐	☐	☐	☐
rketing (e.g., promoting awareness of available services)	☐	☐	☐	☐	☐
plementing (e.g., assisting clients to install a new procedure)	☐	☐	☐	☐	☐
oducing (e.g., developing materials or procedures for client utilization)	☐	☐	☐	☐	☐
fluencing (e.g., promoting concepts and ideas for client utilization)	☐	☐	☐	☐	☐
aluating (e.g., assessing processes and impact of materials and services to clients)	☐	☐	☐	☐	☐

IMMEDIATE FEEDBACK FORM

Please provide your opinions regarding the information or assistance provided to you from (customized for each project). Thank you.

1. How urgent or pressing is the request that motivated you to make use of the information service?

   Not at all pressing ☐ ☐ ☐ ☐ ☐ Extremely pressing

2. If you received materials, how extensively did you review them?

   Not at all ☐ ☐ ☐ ☐ ☐ Very Extensively

3. If you have received personal assistance (linker or consultant), how do you best characterize the assistance? (check all that apply)

   ☐ Finding resources and information
   ☐ Helping with planning and the processes involved
   ☐ Giving solutions to problems or needs
   ☐ Providing generalist services
   ☐ Other (please specify) _____
   ☐ I did not receive personal assistance

4. To what extent is the information and/or assistance relevant to your original request?

   None of the contents relevant ☐ ☐ ☐ ☐ ☐ All contents relevant

5. How completely does the information and/or assistance address your original request?

   Not at all ☐ ☐ ☐ ☐ ☐ Very Completely

6. How timely is the information or assistance toward addressing your original request?

   Too late to be useful ☐ ☐ Right on Time ☐ ☐ ☐ Much ahead of when needed

7. How new or novel is the information and/or assistance in reference to your prior knowledge and experience?

   Not at all new ☐ ☐ ☐ ☐ ☐ All new

8. How useful does it appear that the information and/or assistance will be for its intended purpose?

   Not very useful ☐ ☐ ☐ ☐ ☐ Very useful

9. To what extent would you recommend this service to a colleage in need of information/assistance ?

   Would not advise ☐ ☐ ☐ ☐ ☐ Very highly recommend

10. If you have additional requests, would you use the service again?

    Definitely would not ☐ ☐ ☐ ☐ ☐ Definitely would

"This report is authorized by Law 22 U.S.C. 1221a. While you are not required to respond, your cooperation is needed to make the results of this survey comprehensive, accurate and timely."

IDENTIFICATION NO.

state region linker service

CLIENT ASSESSMENT FORM

1. How would you rate specific materials provided as to their degree of usefulness? (please check one)

Type of Material	Very Limited or Not at all Useful	Limited Usefulness	Moderately Useful	Extensively Useful	Very Extensively Useful
Bibliographic Citations without Abstracts	☐	☐	☐	☐	☐
ERIC Abstracts	☐	☐	☐	☐	☐
ERIC Documents					
In Photocopy form	☐	☐	☐	☐	☐
In Microfiche form	☐	☐	☐	☐	☐
Non-computerized Bibliography	☐	☐	☐	☐	☐
Journal Articles					
In Photocopy form	☐	☐	☐	☐	☐
In Microfiche form	☐	☐	☐	☐	☐
Professional Materials					
In Photocopy form	☐	☐	☐	☐	☐
In Microfiche form	☐	☐	☐	☐	☐
Program/Project Descriptions	☐	☐	☐	☐	☐
Human Resource Reference	☐	☐	☐	☐	☐
Curriculum/Instruct. Materials	☐	☐	☐	☐	☐
Audiovisual Materials	☐	☐	☐	☐	☐
Other (please describe)	☐	☐	☐	☐	☐

_____

_____

"This report is authorized by Law 20 U.S.C. 1221e. While you are not required to respond, your cooperation is needed to make the results of this survey comprehensive, accurate and timely."

2. If you received personal assistance, how would you rate your satisfaction along the following dimensions with the personal assistance provided?

	Not Applicable	Not At All Satisfied				Very Satisfied
Initial understanding of your problem or need	☐	☐	☐	☐	☐	☐
Ability to communicate in general	☐	☐	☐	☐	☐	☐
Helpfulness in interpreting the materials or information received	☐	☐	☐	☐	☐	☐
You did not receive personal assistance	☐	☐	☐	☐	☐	☐

3. How much time did the above individual spend with you (please estimate) ...

before or at the time of initial request? ___ hours ___ minutes

in helping you interpret or use the information after it was received? ___ hours ___ minutes

4. How different from as opposed to consistent with your previous beliefs and values is the information and/or assistance?

Extremely different, unacceptable ☐ ☐ ☐ ☐ ☐ Very consistent with values and beliefs

5. Please examine the following list of different types of needs or problems that may motivate people to look for information, and check the response which most closely approximates the problem or need that characterized this request.

- ☐ A school-wide or agency wide need
- ☐ A need or problem which affected several classrooms or departments within my organization
- ☐ A need or problem which affected only one classroom or department in my organization
- ☐ A need or problem which affected only a few individuals within my school or agency
- ☐ A need or problem which affected only one individual within my school or agency
- ☐ A need for information to complete a professional paper or papers for course work
- ☐ Personal interest-no real need or problem
- ☐ Other (please explain) _____

6. Did you request information or assistance as part of an on-going project or experimental program?

☐ Yes ☐ No

If yes: How long had this project or program been going on when the initial request for information was made? Please indicate the approximate number of weeks and months:

Months ___ Weeks ___

7. Did you contact or seek other information and/or assistance sources prior to this one? If yes, please list. (e.g., State library, supervisor, a school psychologist.)

_____

_____

_____

8. Please indicate the response below that most accurately describes the degree to which you have actually been able to use the information or materials that you received: (fill one circle)

- ☐ You have not been able to use it at all
- ☐ You have been able to read it, but you have not been able to actually put it into practice
- ☐ You have been able to use the information to write a position paper or other paper that you may be able to use in practice in the future
- ☐ You have been able to use the information to develop a plan to improve existing programs or practices
- ☐ You have been able to use the information to modify or alter an existing plan for improving programs or practices
- ☐ You have been able to use the information to justify existing programs or practices
- ☐ The information caused you or other in your organization to reconsider a plan of action that was underway
- ☐ You have been able to use the information to actually initiate a new program or practice
- ☐ You have been able to use the information to make minor improvements in an on-going program or practice
- ☐ Other (please specify) _____

9. What action(s) have you taken after receiving the initial information and/or assistance? (fill all appropriate circles)

Based on information received, you ordered:

ERIC Documents
- ☐ In photocopy form
- ☐ In microfiche form

Professional Materials
- ☐ In photocopy form
- ☐ In microfiche form

☐ Audiovisual Materials
☐ Other _____

Journal Articles
- ☐ In photocopy form
- ☐ In microfiche form

☐ Curriculum/Instructional Materials

☐ You contacted other human resources or agencies

☐ You visited a demonstration site for a special project

☐ You sought more literature and information from this service or another source

☐ You sought more personal assistance fromthis service or another source

10. Please describe in as much detail as possible the actual use made of the information or assistance.

(Example: "The information was used, together with many other sources, as research material. The materials were used in preparing a proposal for an experimental program in teaching environmental studies to high school students. My principal approved the proposal, and I have requested technical assistance from Professor _____ at _____ School and funding from the state."

Please note: The responses "in my job" or "in my classroom" would not be helpful or sufficient for the purpose of thoughtful evaluation of the services.

_____

_____

_____

_____

_____

_____

THE FOLLOWING QUESTIONS ARE OPTIONAL, BUT WOULD BE BENEFICIAL IN ORDER TO BETTER UNDERSTAND THE INFORMATION NEEDS OF THE CLIENTS OF THIS PROGRAM.

11. Prior to requesting assistance, did you discuss the need for information with any of the following groups of individuals? (Please indicate how many below.)

	number of individuals				
	0	1	2-3	4-5	more than 5
Superiors or supervisors	☐	☐	☐	☐	☐
Peers or colleagues (those holding a position similar your own in the same organization)	☐	☐	☐	☐	☐
Staff	☐	☐	☐	☐	☐
Committees	☐	☐	☐	☐	☐
Consultants or specialists (Individuals who were providing assistance to you your work)	☐	☐	☐	☐	☐
Linking agents representing the (constructed for each state)	☐	☐	☐	☐	☐
Professional friends or colleagues (other educators located outside your organization)	☐	☐	☐	☐	☐

Other (please specify)_____

12. After receiving the information or assistance, did you <u>loan</u> or <u>discuss</u> them with any of the following groups of individuals? (please indicate how many.)

	number of individuals				
	0	1	2-3	4-5	more than 5
Superiors or supervisors	☐	☐	☐	☐	☐
Peers or colleagues (those holding a position similar your own in the same organization)	☐	☐	☐	☐	☐
Staff	☐	☐	☐	☐	☐
Committees	☐	☐	☐	☐	☐
Consultants or specialists (Individuals who were providing assistance to you in your work)	☐	☐	☐	☐	☐
Linking agents representing the (customized for each state)	☐	☐	☐	☐	☐
Professional friends of colleagues (other educators located outside your organization)	☐	☐	☐	☐	☐
Other (please specify)_____	☐	☐	☐	☐	☐

13. Do you subscribe to or read regularly any professional educational journals? (If yes, please list those journals read regularly.)

Yes ☐_____ No ☐

_____

_____

Approximately how many books about education have you read during the past 12 months? _____

How many of these books were <u>directly related</u> to your professional responsibilities? _____

14. In relationship to the following professional organizations, please check all those which apply to you:

	Current Member	Current or Past Officer	Current or Past Committee Member
Our local classroom teacher association (NEA, AFT, or other)	☐	☐	☐
Our state classroom teacher association (NEA, AFT, or other)	☐	☐	☐
The National Education Assoc.	☐	☐	☐
The American Federation of Teachers	☐	☐	☐
The national teacher association in my subject area (if more than one, please specify how many:__)	☐	☐	☐
A national education honorary society	☐	☐	☐
A national association of school administrators	☐	☐	☐
Our state organization of school administrators	☐	☐	☐

Others: Please specify _____

13. We have listed below a series of statements about which professional educational personnel are likely to hold differing opinions. Please indicate the degree to which you agree or disagree with these statements by checking the appropriate box. There are no right or wrong answers to these statements. Please give us your personal opinion.

	Very Untrue	Somewhat Untrue	Undecided	Somewhat True	Very True
There is too much faddism in education today	☐	☐	☐	☐	☐
My agency or school is always among the first to try a new method or program	☐	☐	☐	☐	☐
There is little need for most school systems to be doing things any differently now than in the past	☐	☐	☐	☐	☐
Only teachers who want to change their teaching methods should be asked to do so	☐	☐	☐	☐	☐
The head of my agency or school will always support innovative efforts suggested by the staff	☐	☐	☐	☐	☐
Most attempts to change schools today usually make education worse	☐	☐	☐	☐	☐
The way to advance rapidly in my school or agency is to stick to the existing way of doing things	☐	☐	☐	☐	☐
Staff members in my school or agency view change as unnecessary	☐	☐	☐	☐	☐
There are a lot of new ideas being tried out in schools today that should be disseminated to other schools	☐	☐	☐	☐	☐
People with good, new ideas are always rewarded in my school or agency	☐	☐	☐	☐	☐
Recent developments in teaching methods and curricula have made major improvements in the quality of education	☐	☐	☐	☐	☐
It is almost impossible to change anything in my school or agency	☐	☐	☐	☐	☐
When new ideas or programs are proposed locally, administrators support their development and implementation	☐	☐	☐	☐	☐
Individual staff members in the agency or school usually have a lot of influence over decisions which may affect them	☐	☐	☐	☐	☐
The head of my organization makes all of the decisions-it is difficult for an individual to try any influence him/her	☐	☐	☐	☐	☐
This school or agency is run in a very democratic fashion	☐	☐	☐	☐	☐
People who work in my agency or school have a lot of professional Autonomy	☐	☐	☐	☐	☐

THERE ARE NO MORE QUESTIONS. THANK YOU FOR YOUR COOPERATION.

APPENDIX B

MATRIX OF INSTRUMENTS AND ITEMS CORRESPONDING TO VARIABLES OF THE CONCEPTUAL FRAMEWORK

"This report is authorized by Law 20 U.S.C. 1221e. While you are not required to respond, your cooperation is needed to make the results of this survey comprehensive, accurate and timely."

6/16/78

MATRIX OF INSTRUMENTS AND ITEMS CORRESPONDING TO VARIABLES OF THE EVALUATION FRAMEWORK

Type	Domain	Level of Variable	Variable	Instrument	Item Number (or other identification)
Contextual Characteristics	Leadership/ Management	Project	Dissemination experience of project staff	PD Interview Guide[1]	7
			Project Director management experience	PD Interview Guide	7
		SEA	Number of SEA professionals	CCSSO/CEIS[2]	NA
			SEA relationship to other dissemination efforts in the state	PD Interview Guide	5
			Dissemination record	PD Questionnaire[3]	6
			Special Funding record	PD Questionnaire	3
				SEA Interview Guide[4]	5,6
			SCBP Origin	PD Interview Guide	1,2
			Complexity of SEA	SEA Organizational Chart	NA
			SEA Decision making	PD Questionnaire	1
				SEA Interview Guide	1
			Formalization of SEA	SEA Interview Guide	2
			Flexibility	PD Questionnaire	2A
				SEA Interview Guide	2A
			Relationship of SEA to LEAs	PD Questionnaire	4,5
				SEA Interview Guide	3,4
			SEA Attitude toward change	PD Questionnaire	2

[1] Project Director Interview Guide
[2] This information will be obtained from existing documents published by the Council of Chief State School Officers (CCSSO) and/or the Committee on Evaluation Information Systems (CEIS).
[3] Project Director Questionnaire
[4] SEA Administrator Interview Guide

B1.1

MATRIX OF INSTRUMENTS AND ITEMS CORRESPONDING TO VARIABLES OF THE EVALUATION FRAMEWORK (Continued)

Type	Domain	Level of Variable	Variable	Instrument	Item Number (or other identification)
Contextual Characteristics (Continued)	Leadership/ Management (Cont.)	State	Selection method of CSSO	CCSSO/CEIS	NA
			Selection method of state board of education	CCSSO/CEIS	NA
	Information Resources	SEA	Information resources available prior to project	PD Interview Guide	3
			Distribution of resources prior to project	PD Interview Guide	3
			Funding of resources prior to project	PD Interview Guide	3
	Linkages	Project/ SEA/State	Experience of linkers	Linker Form	4
				PD Questionnaire	24
			Education of linkers	Linker Form	2
				PD Questionnaire	26
			Content knowledge of linkers	Linker Form	5,25
			Training	PD Interview Guide	8
		SEA/State	Type/number of ISAs	CCSSO/CEIS	NA
	Clients	SEA	Previous clientele	PD Interview Guide	3
		State	Public school professional staff	NCES[1]	NA
			Nunber of LEAs	NCES	NA
			Number of schools	NCES	NA
			Number of students	NCES	NA

[1] Statistics of Public Elementary and Secondary Day Schools, Fall, 1976. U. S. Department of Health, Education, and Welfare, Education Division National Center for Education Statistics (NCES).

B1.2

MATRIX OF INSTRUMENTS AND ITEMS CORRESPONDING TO VARIABLES OF THE EVALUATION FRAMEWORK (Continued)

Type	Domain	Level of Variable	Variable	Instrument	(or other identification
Contextual Characteristics (Continued)	Other	State	Population ranking	World Almanac	NA
			Size ranking	World Almanac	NA
			Educational support	NCES	NA
			Regional location	USDHEW Regional Numbers	
			Total expenditures for education	NCES	NA
System Characteristics	Leadership/ Management	Project	Advisory Board	PD Questionnaire	10
			Developmental model	PD Interview Guide	6
			Funding amount	PD Questionnaire	12
			Sources of Funding	PD Questionnaire	12
			Distribution of funding	PD Questionnaire	12
				Historical data	NA
			Number of professionals	PD Interview Guide	7
			Project Director role	PD Questionnaire	7
			Project Director tenure	PD Questionnaire	8
			Needs sensing mechanisms	PD Questionnaire	13
			Client Satisfaction Assessment mechanisms	PD Interview Guide	9
			Client Utilization	PD Interview Guide	9
			Formative evaluation	PD Interview Guide	9
			Assessment mechanisms	PD Questionnaire	14,21
			Project planning	PD Questionnaire	9A,9B
				PD Interview Guide	4
			Documentation	PD Questionnaire	11
			Training	PD Interview Guide	8
			Needs sensing feedback usage	PD Interview Guide	10
			Client satisfaction feedback usage	PD Interview Guide	10
			Client utilization feedback usage	PD Interview Guide	10
			Formative evaluation feedback usage	PD Interview Guide	10

B1.3

MATRIX OF INSTRUMENTS AND ITEMS CORRESPONDING TO VARIABLES OF THE EVALUATION FRAMEWORK (Continued)

Type	Domain	Level of Variable	Variable	Instrument	Item Number (or other identification)
System Characteristics (Continued)	Leadership/ Management (Continued)	SEA	Location of project by level within SEA	SEA Organizational Chart	NA
			Location of project by SEA division	SEA Organizational Chart	NA
			Relationship of project to SEA dissemination effort	PD Interview Guide	5
		SEA/State	Funding amount for dissemination	PD Questionnaire	12
			Sources of funding for dissemination	PD Questionnaire	12
			Distribution of funding for dissemination	PD Questionnaire	12
				Historical Data	NA
			Relationship of project to State dissemination effort	PD Interview Guide	5
	Information Resources	Project/ SEA/State	Information resources available	Capacity Building Indicants	I: 1-31
			Quality control mechanisms	PD Questionnaire	21
			Quality Control utilization	PD Questionnaire	22
			Funding	PD Questionnaire	12, 16
			Staffing	PD Interview Guide	7,12
			Service costs	PD Interview Guide	13
			Development/ coordination focus	PD Questionnaire	15
			Automation	PD Questionnaire	17,18
			Distribution/ Centralization	PD Interview Guide	11
			Coordination of resource base	Capacity Building Indicants	II:5,6,7,9-17
			Inventory of information resources	PD Interview Guide	14
			Access	PD Questionnaire	33,34

B1.4

MATRIX OF INSTRUMENTS AND ITEMS CORRESPONDING TO VARIABLES OF THE EVALUATION FRAMEWORK (Continued)

Type	Domain	Level of Variable	Variable	Instrument	Item Number (or other identification)
System Characteristics (Cont.)	Linkages	Project/SEA/ State	Funding of linkers	PD Questionnaire	12,23
			Number of linkers	PD Interview Guide	7,15
			Linker echelons	PD Interview Guide	15
			Locus of control	PD Questionnaire	12,23
				PD Interview Guide	15
			Variety of linkage mechanisms	Capacity Building Indicants	III: 1-35
			Role definition	PD Questionnaire	27,28,32
			Personalization	PD Questionnaire	27
			Coordination processes for linkages	Capacity Building Indicants	IV: 6-9,12,15,16
		Project	Question negotiation	Process Form	2,2A
			Training	PD Interview Guide	8
	Clients	Project/SEA/ State	Intended client audience	PD Questionnaire	35
			Current target audience	PD Questionnaire	35
Outputs	Leadership/ Management	Project/SEA/ State	Visibility of dissemination functions	Capacity Building Indicants	V: 1-31
			Developmental status	PD Questionnaire	9
	Information Resources	Project/SEA/ State	Knowledge of Coordinated Resource Base	Capacity Building Indicants	II: 1,2,3,4,8
			Packaging	PD Questionnaire	20
			Delivery Mode	PD Questionnaire	31
			Transformation	PD Questionnaire	19
			Turn-around time	Client Assessment Package	ID Field
		Project	Response characteristics	PD Questionnaire	19,20,31

B1.5

MATRIX OF INSTRUMENTS AND ITEMS CORRESPONDING TO VARIABLES OF THE EVALUATION FRAMEWORK (Continued)

Type	Domain	Level of Variable	Variable	Instrument	Item Number (or other identification)
Outputs (Cont.)	Linkages	Project/SEA/ State	Knowledge of Coordinated Linkages	Capacity Building Indicants	IV: 1-5
			Focus of Linker Services	PD Questionnaire	29,30
		Project	Follow-up assistance		
			Satisfaction of clients	Client Assessment Form	2,3
			Utilization by clients	Client Assessment Form	2,3
	Clients	Project	Actual client audience	PD Questionnaire	35

B1.6

MATRIX OF INSTRUMENTS AND ITEMS CORRESPONDING TO VARIABLES OF THE EVALUATION FRAMEWORK (Continued)

Type	Domain	Variable	Instrument	Item Number (or other identification)
Client Assessment	Individual Client Characteristics	Position	Service Form	8
		Experience	Service Form	4
		Education	Service Form	9
		Repeat User	Service Form	1
		Social integration	Client Assessment Form	10,11 (optional)
		Professionalism	Client Assessment Form	12,13 (optional)
		Innovative propensity	Client Assessment Form	14 (optional)
	Client Organizational Characteristics	Innovative propensity	Client Assessment Form	14 (optional)
		Locus of decision making	Client Assessment Form	14(optional)
		Administrative support	Client Assessment Form	14 (optional)
		Location	Service Form	10
	Request Characteristics	Problem*	Service Form	2
		Content Area	Service Form	5
		Grade level	Service Form	6
		Time Span*	Service Form	7
		Need Context*	Client Assessment Form	4,5
		Purpose	Service Form	3
		Urgency	Service Form	Identification field
		Intended User*	Service Form	14
	Linker Characteristics	Position	Linker Form	1
		Educational Level	Linker Form	2
		Experience	Linker Form	3
		Content Knowledge	Linker Form	5
		Role Functioning	Linker Form	4,4A,6

*These variables have been identified by Projects as necessary to provide programmatically useful information; they are included in the Client Assessment Package to increase the package's utility to projects; thus, the indicated variables are only indirectly oriented toward the NTS study.

B1.7

6/16/78

MATRIX OF INSTRUMENTS AND ITEMS CORRESPONDING TO VARIABLES OF THE EVALUATION FRAMEWORK (Continued)

Type	Domain	Variable	Instrument	Item Number (or other identification)
Client Assessment (Continued)	Process Characteristics	Information range searched	Process Form	3
		Type and Amount of Information Provided	Process Form	4
		Intensity of Personal Assistance	Client Assessment Form	3
		Type of Personal Assistance	Client Immediate Feedback	3
		Client Awareness	Service Form	11
		Client Contacts	Service Form	12,13
			Client Assessment Form	6
		Client Follow-up	Client Assessment Form	8
		Problem Sufficiency	Process Form	1
		Problem Negotiation	Process Form	2
		Problem Repeat	Process Form	5
		Linker/Client Demographic Match	Analytically Created	NA
		Linker Content Knowledge/ Request Content Area Match	Analytically Created	NA
	Client Satisfaction	Information Usefulness	Client Assessment Form	1
			Client Immediate Feedback	9
		Information Relevancy	Client Assessment Form	4
		Information Novelty	Client Immediate Feedback	7
		Information Acceptability	Client Immediate Feedback	8
		Information Completeness	Client Immediate Feedback	5
		Information Timeliness	Client Immediate Feedback	6
		Material Review	Client Immediate Feedback	2
		Need	Client Immediate Feedback	1
		Linker Input	Client Assessment Form	2
		Recommendation of Services	Client Immediate Feedback	11
		Reuse of Services	Client Immediate Feedback	12
		Overall Rating	Client Immediate Feedback	10
	Service Utilization	Subjective Usage	Client Assessment Form	7
		Levels of Use	Client Assessment Form	9

MATRIX OF INSTRUMENTS AND ITEMS CORRESPONDING TO VARIABLES
OF THE CONCEPTUAL FRAMEWORK (Continued)

Type	Domain	Class of Variables	Variable	Instrument	Item Number (or other identification)
NIE Program Design	Federal Context	Political Context	Special Interest Group Support	PO Interview Guide	2
			Legislative Mandates	PO Interview Guide	2
				Document Review	NA
		Administrative Support	Program Priority	PO Interview Guide	3
				Document Review	NA
			Funding Levels	Document Review	NA
			Organizational Level	PO Interview Guide	3,6
				Document Review	NA
			Staff Stability	Document Review	NA
				PM Interview Guide	1
			Monitor Background	PM Interview Guide	2
			Reporting Requirements	Document Review	NA
	Program Management	Program Expectations	Perceptions of NIE Staff	PO Interview Guide	1
				PM Interview Guide	4
			Perceptions of Project Staff	PD Interview Guide	16
			Intent Conveyed By Grants Announcements	PM Interview Guide	5
				PD Interview Guide	17
			Funding Policies	PO Interview Guide	4
			Renewal Criteria	PO Interview Guide	5
			NIE's Perceptions of project's Constraints	PM Interview Guide	6
		Management Style	Communication Pattern	PD Questionnaire	37,38
				PD Interview Guide	20
				PM Interview Guide	8
			Imposed or Consensual Decisions	PD Questionnaire	37
				PD Interview Guide	21
				PM Interview Guide	7

B1.9

MATRIX OF INSTRUMENTS AND ITEMS CORRESPONDING TO VARIABLES OF THE CONCEPTUAL FRAMEWORK (Continued)

Type	Domain	Class of Variables	Variable	Instrument	Item Number (or other identification)
NIE Program Design (con't)	Monitor Influence	Monitor Involvement	Site Visits	PD Interview Guide	18
				PM Interview Guide	9
			Work Load	PD Questionnaire	36
				PM Interview Guide	3
			Monitor knowledge of individual projects	PM Interview Guide	6,8
				PD Interview Guide	19
		Scope of Influence	Project shaping by monitors	PM Interview Guide	7
				PD Interview Guide	21
				PD Questionnaire	38
			Project Perceptions of Monitor's Role	PD Questionnaire	39
				PD Interview Guide	21
			Self-perception of Role	PM Interview Guide	10

B1.10

APPENDIX C

MATRIX OF EVALUATION QUESTIONS AND INSTRUMENTATION PROPOSED FOR ANALYSIS

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MATRIX OF EVALUATION QUESTIONS AND INSTRUMENTATION PROPOSED FOR ANALYSIS

EVALUATION QUESTION	PROPOSED INSTRUMENTATION	ITEM
A1. What knowledge can be generated regarding the origins, objectives and plans of the Capacity Building projects?	Document Review	NA
A2. What knowledge can be generated regarding Service Capacity?		
a. What are the chief contextual elements within service capacity which characterize and differentiate projects?	Project Director Questionnaire	1-6, 24-26
	Project Director Interview Guide	1-3
b. What are the chief system characteristics which characterize and differentiate projects?	Project Director Questionnaire	7-18,21,22
	Project Director Interview Guide	4-12,13-15
	Capacity Building Indicants	I:1-49;II:5,6 7,9-17; III:1-35 IV6-9,12,15,16,19
f. What are the chief output variables within service capacity that characterize and differentiate projects?	Project Director Questionnaire	19,20,23,29,30,35
	Capacity Building Indicants	II: 1-4,8;IV:1; V: 1-31
A3b. What knowledge can be generated concerning actual clientele?	Service Form	1-9
	Client Immediate Feedback	1-12
	Client Assessment Form	1-9
B1. What effects are the projects having?[1]	Document Review	NA
	Project Director Interview Guide	5-15
	SEA Administrator Interview Guide	7,8
B2. Is dissemination capacity being institutionalized so that it can continue to function without external stimulus?	Capacity Building Indicants	V:1-30
	Project Director Questionnaire	7-9,12,16
	Project Director Interview Guide	5

1 Selected data from evaluation question A1 and A2 will be utilized in addressing this question where applicable

MATRIX OF EVALUATION QUESTIONS AND INSTRUMENTATION PROPOSED FOR ANALYSIS (Continued)

EVALUATION QUESTION	PROPOSED INSTRUMENTATION	ITEMS
B3. What effects are related to the Federal role.	PD Interview Guide PD Questionnaire	18 36,37,38,39
a. What is the impact of different elements of the NIE Program design and management on capacity building and institutionalization?	PD Interview Guide NIE PM Interview Guide NIE PO Interview Guide Capacity Building Indicants	20,21 1-3,6-10 1-4,6 all
b. Are there changes that should be made to facilitate the building and institutionalization of state capacity?	PD Interview Guide PM Interview Guide PO Interview Guide	16,17 4,5 5

C1.2

APPENDIX D. INSTRUMENTATION NOT REQUIRING OMB CLEARANCE

NIE Project Officer Interview Guide D1

NIE Project Monitor Interview Guide D2

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NIE PROJECT OFFICER INTERVIEW GUIDE

D1

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NIE Project Officer Interview Guide

1. Please describe what role you see that the SCBP could play in a nation-wide system (or configuration) concerned with educational dissemination. Ideally, what are the long-term results you hope will emerge from the program in the states? For NIE? To what extent do you expect those results to be achieved?

2. What are some of the factors that have shaped the SCBP (e.g., support or opposition of special groups in and outside of the federal government, legislative and administrative mandates, program funding levels)?

3. Please describe the present organizational structure of NIE's dissemination programs. In your view, how does this arrangement facilitate and/or impede efforts related to capacity building? Within NIE, how important is the State Capacity Building Program considered to be compared to other DRG efforts on other relevant NIE programs? What are some specific indications of that level of importance?

4. In your opinion, what rationale underlies the decisions to fund all projects at about the same level and to reduce that funding annually? Why have some projects received increased funding in their second year?

5. What, for you, should be the criteria used in the decision to fund either new or renewal SCB Grant applications? To what extent do you feel those criteria are followed? (If not followed) What criteria do you understand are being used?

6. How do you view your role with respect to project officers of other federal dissemination programs? With respect to the project monitors of the SCBP?

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NIE PROJECT MONITOR INTERVIEW GUIDE

D2

"This report is authorized by Law 20 U.S.C. 1221e. While you are not required to respond, your cooperation is needed to make the results of this survey comprehensive, accurate and timely."

NIE PROJECT MONITOR INTERVIEW GUIDE

1. How long have you been involved with the State Capacity Building Program?

2. Prior to your involvement with the SCBP, had you ever served as a project monitor? (If yes) With what programs have you been involved? For how long? Have you ever worked in an SEA? (If yes) What was your role?

3. Approximately what percentage of your working time is spent on this program? Of that time, approximately to what extent do you work on the following activities?

	(Less Than 5%) Very Limited or Not At All	(6-20%) Limited	(21-60%) Moderate	(61-80%) Extensive	(81-100%) Very Extensive
a. Reviewing quarterly reports from projects	1	2	3	4	5
b. Reviewing other reports from the projects	1	2	3	4	5
c. Meeting with other SCBP monitors (or other SCBP program staff)	1	2	3	4	5
d. Meeting with staff of other dissemination programs	1	2	3	4	5
e. Reviewing project proposals	1	2	3	4	5
f. Talking with State project personnel	1	2	3	4	5

4. Please describe what role you see that the SCBP could play in a nationwide system (or configuration) concerned with educational dissemination. Ideally, what are the long term results you hope will emerge from the program in the states? For NIE? To what extent do you expect those results to be achieved?

5. To what extent are your expectations for the State Capacity Building Program reflected in the Grants Announcement? To what extent are your expectations for the SCBP reflected in the state proposals you have reviewed? What changes, if any, would you suggest be made in the Grants Announcement? Are there alternative goals and objectives you feel would be more appropriate to this program than those enunciated in the Grants Announcement?

"This report is authorized by Law 20 U.S.C. 1221a. While you are not required to respond, your cooperation is needed to make the results of this survey comprehensive, accurate and timely."

6. How realistic are the objectives set by the SCB projects? Are some projects more likely to reach their objectives than other projects? In general terms, do you think that the objectives the projects have selected can be reached in the five years of NIE funding? What are the strengths of the projects? What are the main problems the projects are facing now? What could be done to overcome those problems? In general, how successful could similar projects be without NIE funding (assuming SEAs could match NIEs level of effort)?

7. Do the projects ever offer you advice on suggestions for running this program? What do you usually do with that advice? What are some examples? Do you ever offer unsolicited advice to any of the projects? (If yes) What are some examples? What happened to that advice?

8. To what extent do you think projects report to you the problems they face? What kind of problems are reported? How frequently is this done? Are the problems reported informally, such as over the phone, or more formally through reports or during your site visits? What do you usually do when a project reports problems? What are some examples? What do you do with the quarterly reports you receive from the projects?

9. Why were you assigned your particular SCB project responsibilities? Have you been able to visit them? What were the purposes of those visits? Were those purposes fulfilled? Do you have any suggestions for modifying those visits? Do you spend more time working with some projects than with others? (If yes) Why? What is it about those projects that requires greater effort?

10. Please describe your impressions of what state project personnel expect you to do. How successfully do you match those expectations? Do you think you should be able to match them? What constraints do you face in trying to match them? What do you expect of project personnel in their interactions with you? Do they meet your expectations? What constraints do the state project personnel face in meeting your expectations?